

Johns Hopkins University

RESEARCH ADMINISTRATION IN THE VIRTUAL WORLD:
A GUIDEBOOK FOR RESEARCH ADMINISTRATORS

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Abstract

This project established an on-line, searchable Proposal and Award Handbook for internal use of the author's research administration team. This Handbook reduces worker stress by simplifying access to necessary systems and information, which is particularly important in the period of mandatory remote work caused by the COVID-19 pandemic. This Handbook also increases research administration team cohesion and supports individual professional growth, by communicating information about roles and responsibilities of different job types within the group. The Handbook mitigates the increased difficulty of accessing files and collaborating with research administration peers caused by mandatory remote work. The Proposal and Award Handbook empowers each research administration team member to efficiently respond to researcher and institutional requirements.

The Proposal and Award Handbook is searchable, editable, and organized alphabetically by topic. It contains instructions for accessing sponsor and internal systems, as well as hyperlinks to existing guidance and expertise. This Handbook is shared in a research administration team Google Drive, and uses Google Document Headings to maintain a hyperlinked table of contents. Google Document History ensures that important guidance is not mistakenly deleted. Periodic informal review, assessment, and maintenance by the lab research administration team to ensure clarity and accuracy of information.

This Handbook is a lab-level research administration resource that enables timely and correct responses to all institutional stakeholders, while minimizing institutional risk that may result from regulatory or procedural non-compliance.

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Chapter 1. Introduction

1.1. Background.

Scientific progress is essential to society and the public welfare. As Dr. Vannevar Bush laid out in the landmark report to President Roosevelt in 1945, *Science the Endless Frontier*,¹ scientific progress is essential to society and the public welfare, “without scientific progress no amount of achievement in other directions can insure our health, prosperity, and security as a nation in the modern world.”²

Human advancement relies on scientific progress, and this fact could not be starker than at this moment, April 2021, as the United States (U.S.) reaches a grim toll of 553,681 Americans dead of COVID-19.³ As a result of successful scientific development, society is benefiting from the distribution of three vaccines effective in preventing COVID-19, including products from Pfizer-BioNTech, Moderna, and Johnson & Johnson/Janssen.⁴ Thanks to researchers, humanity will increasingly resume some normality in the year to come.

COVID-19 is not the only area in which human survival depends on science. Global population is projected to reach 9.8 billion people by 2050.⁵ Achievement of this milestone requires science, to develop “plants which are

¹ Vannevar Bush, “Science the Endless Frontier,” accessed February 23, 2021, <https://www.nsf.gov/od/lpa/nsf50/vbush1945.htm>.

² Ibid.

³ Centers for Disease Control and Prevention (CDC), “U.S. CDC COVID Data Tracker”, accessed April 4, 2021, https://covid.cdc.gov/covid-data-tracker/#cases_casesper100klast7days.

⁴ CDC, “Different COVID-19 Vaccines,” accessed April 4, 2021, <https://www.cdc.gov/coronavirus/2019-ncov/vaccines/different-vaccines.html>.

⁵ United Nations (U.N.) News, “World population to hit 9.8 billion by 2050, despite nearly universal lower fertility rates – UN,” June 21, 2017, <https://news.un.org/en/story/2017/06/560022-world-population-hit-98-billion-2050-despite-nearly-universal-lower-fertility>

more resistant to disease and are adapted to short growing season, the prevention and cure of livestock diseases, the control of our insect enemies, better fertilizers, and improved agricultural practices...”⁶ Beyond issues of sustenance, humanity is increasingly vulnerable to dramatic shifts in weather and climate, which the US. Global Change Research Program (USGCR) explains may “affect human health in two main ways: first, by changing the severity or frequency of health problems that are already affected by climate or weather factors; and second, by creating unprecedented or unanticipated health problems or health threats in places where they have not previously occurred.”⁷ Humanity’s continuing existence relies on scientific progress, and scientific progress relies on effective research administration.

Research Administration (RA) “provides a service function for investigators,”⁸ and a research administrator is “someone who leads, manages or supports the research enterprise.”⁹ RA attends to the business side of the scientific endeavor, allowing researchers to immerse themselves in the creative pursuit of scientific discovery and innovation, unburdened by concerns about research administrative compliance. Effective RA guides research conduct to ensure

⁶ Vannevar Bush, “Science the Endless Frontier,” accessed February 23, 2021, <https://www.nsf.gov/od/lpa/nsf50/vbush1945.htm>.

⁷ U.S. Global Change Research Program (USGCRP), “Climate and Health Assessment,” accessed April 4, 2021, <https://health2016.globalchange.gov/>

⁸ Kenneth L. Beasley, “The History of Research Administration,” in *Research Administration and Management*, ed. Elliott C. Kulakowski and Lynne U. Chronister (Sudbury, MA: Jones and Bartlett Publishers, Inc., 2006), 27.

⁹ Lynne U. Chronister and Robert Killoren, “The Organization of the Research Enterprise,” in *Research Administration and Management*, ed. Elliott C. Kulakowski and Lynne U. Chronister (Sudbury, MA: Jones and Bartlett Publishers, Inc., 2006), 59.

regulatory and ethical compliance, which supports the transparency and reproducibility of research outcomes.

The knowledge and skills of research administrators supports scientific integrity by ensuring compliance with critical requirements that often extend beyond the purview of most researchers. Capable RA enables researchers to focus on primary aims, to examine hypotheses, analyze results, “unravel the unknown and change the future.”¹⁰

1.2. Statement of the Problem.

Effective RA relies on mastery of a range of skills and expertise. For example, RA professionals must be able to adapt processes to address the requirements of a range of sponsors and research partners, including local, national, international governments; industry and commercial entities; and non-profit foundations. “Research administration has evolved to become a synergistic, highly complex, sometimes highly bureaucratic and legalistic profession that requires a breadth of knowledge and skill unequalled in most business and management professions.”¹¹ Addressing these varied requirements depends, in part, on research administrators’ ability to navigate grant and contract law, federal fund management standards, export control policies and procedures, and protections that ensure ethical scientific conduct.¹² Additionally, RA professionals must be aware of requirements to protect intellectual property and guard against undisclosed conflicts of

¹⁰ Kenneth L. Beasley, “The History of Research Administration,” in *Research Administration and Management*, ed. Elliott Kulakowski and Lynne U. Chronister (Sudbury, MA: Jones and Bartlett Publishers, Inc., 2006), 27.

¹¹ Elliott C. Kulakowski and Lynne U. Chronister, “Introduction: Leadership and Management of the Research Enterprise in the 21st Century,” *Research Administration and Management*, edited by Elliott Kulakowski and Lynne U. Chronister (Sudbury, MA: Jones and Bartlett Publishers, Inc., 2006), 4.

¹² *Ibid.*, 3-7.

interest. It is also imperative that human subjects be protected from undisclosed research risks or dangers¹³ and that the care and use of laboratory animals complies with Animal Welfare Regulations.¹⁴ Research administrators must comprehend and apply terms, conditions, and regulations that are subject to change and sometimes interpretation.

The author's affiliation with the Climate and Global Dynamics Laboratory (CGD), in the Federally Funded Research and Development Center (FFRDC) the National Center for Atmospheric Research (NCAR), is managed through a cooperative agreement between the National Science Foundation (NSF) and the University Corporation for Atmospheric Research (UCAR), non-profit manager of NCAR. Terms and conditions in the cooperative agreement between the NSF and UCAR have ramifications for how NCAR and CGD may conduct business with all sponsors.

One aspect of the additional concerns related to the governance of NCAR is about a perception of unfair competition with university researchers. To address research community concerns that NCAR could inappropriately leverage its NSF base funding to provide resources not available to a university researcher, NSF limits participation by NCAR staff in many NSF grant opportunities. A related issue is the requirement that NCAR formalize every unfunded collaboration, so that these commitments of time and effort, no matter how small, are institutionally reviewed and available for NSF oversight. These are limited examples of the

¹³ U.S. Department of Health, Education, and Welfare, "The Belmont Report," April 18, 1979.

¹⁴ U.S. Department of Agriculture (USDA), 9 CFR 1A. (Title 9, Chapter 1, Subchapter A): Animal Welfare, 1985, cited in National Research Council (US) Committee for the Update of the Guide for the Care and Use of Laboratory Animals, Washington (DC): [National Academies Press \(US\)](#); 2011, accessed 25 March 2021, <https://www.ncbi.nlm.nih.gov/books/NBK54045/#>.

additional institutionally driven detail requiring additional research administrator compliance.

There are also benefits in being associated with such a sizable and well-managed research organization. It is large enough to employ groups of lawyers, contract administrators, and accountants that serve as a front line to interpreting institutionally relevant policies and procedures to ensure compliance. NCAR Climate and Global Dynamics Laboratory (Lab) RA staff gain from these expert teams, and the Lab RA role expands to serve as business process experts and liaisons, able to determine when managerial and institutional oversight are required.

Lab research administrators must be aware of all of these tiers of regulation and practice, which has been complicated by mandatory remote work that began in March 2020 in response to the COVID-19 pandemic. One common challenge of remote work is the “added time and effort needed to locate information from coworkers. Even getting answers to what seem like simple questions can feel like a large obstacle to a worker based at home.”¹⁵ This stress “extends beyond task-related work to interpersonal challenges that can emerge among remote coworkers.”¹⁶ In other words, frustration with work responsibilities may increase friction between research administration team members.

¹⁵ Barbara Z. Larson, Susan R. Vroman, and Erin E. Makarius, “A Guide to Managing Your (Newly) Remote Workers,” *Harvard Business Review*, accessed March 16, 2021, <https://hbr.org/2020/03/a-guide-to-managing-your-newly-remote-workers>

¹⁶ Ibid.

The term “mutual knowledge” refers to information shared with members of a group, who recognize that all group members have this information in common.¹⁷ When mutual knowledge is established, it supports “effective communication and the performance of cooperative work.”¹⁸ Working remotely, Lab research administrative staff are even more likely to suffer from the lack of mutual knowledge. Geographically distanced collaborators are particularly “vulnerable to failures of mutual knowledge,”¹⁹ and these failures may be increased by “frequent use of communications technology.”²⁰ Research administrators working remotely and interacting primarily through email and video conferences are especially vulnerable heightened frustration as work tasks are complicated by more cumbersome access to information, which may also increase interpersonal conflict. These problems can be reduced or negated by establishing and maintaining mutual knowledge and building understanding of the associations between distinct and mutually dependent information.²¹ This simplifies task completion and encourages team cohesion.

As complicated as the days of typewriters, carbon copies, and punch cards must have been, current research administrators are faced with a proliferation of Electronic

¹⁷ Robert M. Krauss and Susan R. Fussell, “Mutual Knowledge and Communicative Effectiveness,” in *Intellectual Teamwork: Social and Technological Foundations of Cooperative Work*, ed. J. Gallagher, R. Kraut, C. Egidio (New York, NY: Lawrence Erlbaum Associates Inc., 1990), 111-145, quoted in Catherine Durnell Cramton, “The Mutual Knowledge Problem and Its Consequences for Dispersed Collaboration,” *Organization Science* 12, no. 3 (May-June 2001): 347, <https://doi.org/10.1287/orsc.12.3.346.10098>.

¹⁸ Cramton, 350.

¹⁹ Ibid.

²⁰ Catherine Durnell Cramton, “The Mutual Knowledge Problem and Its Consequences for Dispersed Collaboration,” *Organization Science* 12, no. 3 (May-June 2001): 364, <https://doi.org/10.1287/orsc.12.3.346.10098>.

²¹ Ibid., 369.

Research Applications (ERA). While many of these systems will eventually communicate between systems and require decreasing manual oversight, current upgrades and changes require research administrator familiarity with a variety of changing software systems, while also conducting regular analysis to ensure new systems (and new staff) are functioning as required.

Lab RA professionals must maintain expertise that extends beyond procedures, details and concepts, and also be able to effectively use internal Electronic Research Administration (eRA) tools. These eRA tools are subject to updates and changes that require RA adjustment and flexibility. In summer 2020, UCAR began financial system modernization, which will “replace a legacy on premise financial system with a new cloud-based core financial system that is integrated with other cloud systems and incorporates strategic financial initiatives, project management, and standardized reporting.”²² One aspect of this initiative is the “Kuali Research Phase 2,”²³ which seeks “to develop a research administration platform that allows UCAR to quickly adapt to a changing environment and evolving contractual, regulatory, and compliance demands.”²⁴ These management initiatives will lead to “more streamlined, user-focused, flexible, responsive, efficient, and effective systems with excellent reporting, transparency and accountability.”²⁵ The value of this modernization effort depends, in part, on RA professionals’ ability to effectively use the updated tools.

²² “Next Generation Financials,” UCAR Operations, accessed March 27, 2021, <https://operations.ucar.edu/coo/initiatives/next-generation-financials>

²³ “Kuali Research Phase 2,” UCAR Operations, accessed March 27, 2021 <https://operations.ucar.edu/coo/initiatives/kuali>

²⁴ Ibid.

²⁵ “Operational Excellence (OPEX) Program, 2016-,” NCAR-UCAR Archives, accessed March 3, 2021, https://aspace.archives.ucar.edu/repositories/2/archival_objects/15611.

Even the most seasoned RA professional is challenged to keep up to date with every sponsor's particular rules while also being cognizant of all institutional RA policies and procedures. RA nuances are manifold, requiring RA professionals to interpret vague or even conflicting guidance, address non-standard situations and requests for exceptions.²⁶ This shifting landscape reflects the research administration truism that a reasonable response to many a question is "It depends."²⁷ Rather than coy ambivalence, this is a serious answer that reflects the imperative that research administrators be able to navigate a complex inter-relationship of external and internal factors in order to respond effectively and professionally.

In the past decade, the realm of the research administrator has widened and the path through has narrowed. The realm covers more area, more topics, and is subject to constant growth and change, driven by expanding research horizons. The path through has narrowed, bound by increasing federal regulation and oversight, as evident with the update of federal grant guidance in the Uniform Guidance.²⁸

That RA professionals have maintained or even increased productivity in this quarantine period can lead to increased stress and higher rates of burnout,²⁹ which negatively affects work quality, and, perhaps more importantly, erodes the health and

²⁶ "Navigating 'It Depends,'" National Council of University Research Administrators, accessed April 4, 2021. <https://onlinelearning.ncura.edu/products/navigating-it-depends>.

²⁷ Google.com search, "research administration + "it depends,"": 15.4M results. Accessed February 27, 2021.

²⁸ Office of Management and Budget (OMB), "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: 2 CFR Chapter I, and Chapter II, Parts 200, 215, 220, 225, and 230," *Federal Register*, 78 no. 248. 78590-78689. Accessed March 12, 2021, <https://www.govinfo.gov/content/pkg/FR-2013-12-26/pdf/2013-30465.pdf>.

²⁹ Katrina Akioka and Theresa R. Caban, "Productivity: Harnessing the Power of Productivity through Telework." *SRAI News* (blog), *Society of Research Administrators International*, November 13, 2020, <https://www.srainternational.org/blogs/srai-news/2020/11/13/productivity-harnessing-the-power-of-productivity>.

welfare of these committed professionals. RAs facilitate the achievement of valid scientific results and minimize institutional risk. RAs who are able to manage regulatory, contractual, and compliance issues effectively reduce the administrative burden on researchers, allowing them to focus on scientific pursuit and minimize institutional risk, by ensuring regulatory compliance. Doing this work well requires flexible tools, such as the Proposal and Award Handbook (Handbook) created for this project.

1.3. Project Question.

How can engaged RA professionals best manage the diverse activities required by their role? Beyond possessing working knowledge of the field, RA must also be able to respond to new software programs and institutional initiatives.

One way to achieve flexible and effective RA is to create a searchable, centralized, editable Handbook, such as is reflected in the Proposal and Award Handbook created for this project. This Handbook is subject to ongoing development as a living compendium of procedures, details, and hyperlinks to guidance that empowers each member of the author's team to respond to requests from non-administrative staff. This resource enables timely, accurate responses to a range of topics, which serves the Lab's researchers with access to prompt and informed answers and increases Lab research administrative staff's sense of autonomy and competence.

1.4. Project Objectives.

The key objective of this Capstone Project is to create and maintain a highly detailed, on-line Handbook that supports effective management of research administrator responsibilities. Because RA is subject to regulatory and institutional changes, a Handbook for RA benefits from being searchable and easily accessed to support timely

reference. In the period of mandatory, long-term, remote work, prompted by the COVID-19 pandemic, this type of Handbook is particularly valuable, as it minimizes the effort required to locate current, instance-specific guidance, from pre-award to award management, to closeout and even audits.

The Proposal and Award Handbook is designed for the use of Lab RA staff. It is a compilation of institutionally relevant facts, links, and guidance, covering the gamut of RA. This Lab RA Handbook increases Lab RA engagement and confidence, and unifies guidance based on current best practices, subject to change. The Handbook eases administrative stress and burden by providing access to the information required to effectively perform RA.

1.5. Significance.

The Proposal and Award Handbook enables a team of 10 administrative staff to collaboratively administer a \$20M+ Lab program and to support approximately 125 non-administrative staff. Budget Analysts (2.5 FTE) form the core of the pre-award administrative team. Post award and administrative leadership and oversight is provided by an additional person. Between 2015 and 2020, the number of proposals submitted by the Lab per year increased by more than 50% (approximately 66 competitive submissions in 2015, and 101 in 2020)³⁰, while Lab research administrative staffing in that same period has grown by 0.5 FTE. The snapshot of proposal growth is just one indicator of the increase in workload.

There is increasing research suggesting that remote work, and the associated benefits of minimizing overhead costs for employers and, in many cases, improving

³⁰ NCAR Budget and Planning, “CGD Proposal Trends, FY 2020,” PowerPoint charts, March 2021.

quality of life for workers, is going to continue as part of workplace structure in the coming decade. In the SRAI-sponsored survey mentioned above, a majority of respondent research administrators indicate they are more productive during remote work, while a significant subset is also “feeling detached and struggling during telework.”³¹

Work from home is here to stay, and shared, easily accessed, online resources such as this Handbook supports colleagues who are comfortable with rising workloads as well as those who are feeling overwhelmed. The shared Handbook is necessary to maintain work quality and research administrator sanity while working remotely. One important tool in a Research Administrator’s toolbox is access to institutionally relevant and approved templates, examples, and procedures.

Due to the evolving practice of RA in response to changing regulations, policies and procedures, the tool must be easily updated. The Proposal and Award Handbook created in this quarantine period is an effective communication tool, conveying important administrative detail within the author’s team. The Handbook comprises a shared body of knowledge that every team member can access and edit and has become a living document, continually adapted based on user needs and questions. The Handbook, available at any hour to anyone on the Lab research administration team by accessing a shared Google Document has improved the author’s team’s administrative proficiency.

The value of this Handbook, however, is greater than that demonstrated by achievement of tasks and compliance with institutional rules. The Handbook supports

³¹ Katrina Akioka and Theresa R. Caban. “Productivity: Harnessing the Power of Productivity through Telework.” *Society of Research Administrators International* (8 Feb. 2021): Retrieved from <https://www.srainternational.org/blogs/srai-news/2020/11/13/productivity-harnessing-the-power-of-productivity>

administrative autonomy and reduces research administrator stress through provision of detailed and accurate information. Prior to the Handbook, resolution of many RA questions relied on consultation with one or two more experienced Lab RA staff members. Access to facts and guidance that support independent solutions increases personal work satisfaction.

1.6. Exclusions and Limitations.

This Handbook is not a reproduction of sponsor, institutional federal, or other regulations. It is a pointer to the most up to date resources to facilitate action based on accurate information.

It is intended to be easily updated and uses links to existing external and institutional web pages and shared Google files rather than reproducing the guidance contained in those sources.

This Handbook is also a repository of guidance for navigating sponsor sites, such as the National Science Foundation's Research.gov and Fastlane, and internal software applications, such as Kuali and IBM/Cognos budget tools. This guidance is continually refined and clarified, updated based on user experience.

Chapter 2. Literature Review

2.1. Overview of Literature Review.

The sources consulted for this project include the National Council of University Research Administrators' (NCURA) Magazine and their RMR Journal and the Society of Research Administrators International's (SRAI) Magazine and Journal. Additional sources include the Harvard Business Review, the National Research Council, the National Science Foundation, Elsevier's *Research Policy*, TIME Magazine, Inc.com, Gallup Analytics, and the Council on Governmental Relations (COGR).

Literature supporting the use of searchable, easy access, online guidance is lacking. One reason is that in the current high security and cyber compliance era, such a Handbook is very institution and group specific and protected from non-authorized access.

The Handbook produced in this project is intended only for the use of the author's Lab RA staff.

2.2. Details of Literature Review.

Those in jobs that have been able to adapt quickly to mandatory work from home are privileged to be participating in a global-scale "work-from-home experiment."³² This trend to work from home is likely to grow, as management starts "banking on cost-savings, wider talent pools, and greater diversity"³³ afforded by work from home structures.

³² Shelly Banjo, Livia Yap, Colum Murphy and Vinicy Chan, "The Coronavirus Outbreak Has Become the World's Largest Work-From-Home Experiment," *Time Magazine*, February 3, 2020, <https://time.com/5776660/coronavirus-work-from-home/>; Murat Erer, "Global Data Shows Surge in Remote Work," *Linked in Talent Blog*, Linked In, 30 July 2020, <https://business.linkedin.com/talent-solutions/blog/trends-and-research/2020/global-data-shows-surge-in-remote-work>.

The Council on Government Relations (COGR), in an August 2020 report on COVID-19 and its research impacts, identified this as

A new “Pandemic Normal” for how research is conducted in our country, as well as globally, ... —and inefficiencies are unavoidable. For example, the scope of research promised on a \$1 million award (pre-COVID-19) will now require more than \$1 million to complete. And, the scope of research to be delivered in one year (pre-COVID-19) will now require more than one year. In order to operate effectively and efficiently under the “Pandemic Normal,” new measures such as redefining proposal and budgeting guidelines, eliminating overly burdensome regulations, and related measures are necessary.³⁴

Furthermore,

Understanding the impact and supporting the research enterprise to get through this crisis is paramount to maintaining the global competitiveness, technological leadership, and the economy of the United States.³⁵

COGR emphasizes the value of RA in light of this new normal. Effective Research Administrators are key personnel, whose efforts contribute to the success and advancement of the research enterprise. Work-from-home strategies and resources that improve worker peace of mind while simultaneously enabling quality processing of large work volume have shifted from a desire to a requirement, so that high-quality customer service is maintained, thereby insuring researchers’ continued funding, discoveries, and innovations.

Nicolas Bloom is a Stanford Professor who studied remote worker productivity. Prior to this study, standard wisdom was that remote workers were

³⁴ Council on Governmental Relations (COGR), “Research Impact Under COVID-19: Financial Crisis and the ‘Pandemic Normal,’” August 25, 2020, https://www.cogr.edu/sites/default/files/Research_COVID_August2020_COGR_FINAL.pdf, 2.

³⁵ Ibid.

likely to slack off. “Instead, the robust, nearly two-year study showed an astounding productivity boost”³⁶ by remote workers, who echoed the SRAI survey-respondents in praising reduced distractions and improved focus enabled by remote work.³⁷ And there were additional benefits for employers, attrition rates dropped, obviating the need for costly hiring searches and training, and employees “took shorter breaks, had fewer sick days, and took less time off. Not to mention the reduced carbon emissions from fewer autos”³⁸ on the road. Furthermore, Bloom’s corporate subject saved “almost \$2,000 per employee on rent.”³⁹ Based on Bloom’s results and anecdotal evidence that these results translate across industries, remote work is likely to remain a larger part of most people’s lives than it was before the pandemic.

Gallup Analytics cites that, prior to mandatory, pandemic-related remote work, “several federal agencies”⁴⁰ pledged to reduce remote work options, “citing a lack of data regarding remote workers’ effectiveness.”⁴¹ Gallup’s data shows that job flexibility, including the option for some remote workdays, increases worker engagement, which means employees “are more enthusiastic, energetic, and positive, feel better about their work and workplace, and have better physical

³⁶ Scott Mautz, “A Two-Year Stanford Study shows Astonishing Productivity Boost of Working from Home,” Inc.com, April 2, 2018, <https://www.inc.com/scott-mautz/a-2-year-stanford-study-shows-astonishing-productivity-boost-of-working-from-home.html>, 4; Nicholas Bloom, James Liang, John Roberts, Zhichun Jenny Ying, “Does working from home work? Evidence from a Chinese experiment,” The Quarterly Journal of Economics (2015): 165-218, <https://doi.org/10.1093/qje/qju032>.

³⁷ Ibid., 4.

³⁸ Ibid.

³⁹ Ibid.

⁴⁰ Adam Hickman and Jennifer Robison, “Is Working Remotely Effective? Gallup Research Says Yes,” Workplace, Gallup Analytics, January 24, 2020, <https://www.gallup.com/workplace/283985/working-remotely-effective-gallup-research-says-yes.aspx>.

⁴¹ Ibid.

health.”⁴² Flexible work is in such high demand that employers who don’t offer the option are likely to lose out on top talent, which prioritizes workplace flexibility as part of a compensation package.⁴³

Based on a nation-wide survey of RA professionals conducted by Society of Research Administrators International, “~92% are currently teleworking due to COVID-19 and of those, 62% have experienced an increase in their volume of work.”⁴⁴ RA professionals meet the challenge presented by this increased work volume, reporting that they have more time to commit to work and overall higher productivity⁴⁵ while working from home. Other respondents indicate new challenges posed by working from home, including more interruptions and derailed focus due to home responsibilities, such as managing remote schooling.⁴⁶ Despite the additional obstacles encountered in working from home, even those with additional home distractions indicated similar productivity⁴⁷ as achieved previously while working in the office.

The positives associated with increased worker flexibility are not only gained by workers; employers benefit also. As Gallup reports, “highly engaged workplaces can claim 41% lower absenteeism, 40% fewer quality defects, and 21% higher profitability.”⁴⁸ While some of these measures are not directly

⁴² Adam Hickman and Jennifer Robison, “Is Working Remotely Effective? Gallup Research Says Yes,” Workplace, Gallup Analytics, January 24, 2020, <https://www.gallup.com/workplace/283985/working-remotely-effective-gallup-research-says-yes.aspx>

⁴³ Ibid.

⁴⁴ Katrina Akioka and Theresa R. Caban, “Productivity: Harnessing the Power of Productivity through Telework.” *SRAI News* (blog), *Society of Research Administrators International*, November 13, 2020, <https://www.srainternational.org/blogs/srai-news/2020/11/13/productivity-harnessing-the-power-of-productivity>.

⁴⁵ Ibid.

⁴⁶ Ibid.

⁴⁷ Ibid.

⁴⁸ Ibid.

applicable to research administration, the general trend of increased engagement, fewer errors, and more efficiencies do apply.

2.3. Applicability of the Literature Review.

While there is little literature specifically regarding the value of searchable, online, shared guidance for RA, COVID-19 and quarantine have led to an increased examination of work structures to determine benefits and dilemmas associated with extended work from home.

The verdict so far is that remote workers are more productive than previously assumed, and given the option for periodic in-person work, are happier. Furthermore, institutions may save money and increase efficiencies.

One challenge of remote work is reduced “access to managerial support and communication.”⁴⁹ The always accessible Proposal and Award Handbook, created under this Capstone Project, is a partial solution to that problem.

⁴⁹ Barbara Z. Larson, Susan R. Vroman, and Erin E. Makarius, “A Guide to Managing Your (Newly) Remote Workers,” *Harvard Business Review*, 18 March 2020, <https://hbr.org/2020/03/a-guide-to-managing-your-newly-remote-workers>.

Chapter 3. Need Assessment

3.1. Need Assessment.

Work in this field requires a high-level perspective that does not get lost in views of the proverbial forest and is capable of focusing promptly and in depth on specific trees. Research Administration covers a broad range of procedural and policy guidance. For this body of knowledge to be contained only in mere human memory puts the content in jeopardy. The author-initiated creation of a shared, editable Proposal and Award Handbook when the COVID-19 pandemic resulted in mandatory remote work. This Handbook is a key tool helping Lab research administrative staff keep abreast of the range of RA processes and skills that are required to effectively support a multi-million-dollar research Lab. This Handbook reinforces individual, remote training and mentoring, and provides an administrative reference that minimizes effort to locate resources required to complete work tasks.

As reported in the Jan/Feb 2021 issue of National Council of University Research Administrators (NCURA) Magazine, a benefit that has come from mandatory work from home is “better use of electronic records systems, moving forward the transition to a paperless system,”⁵⁰ which is countered by a downside reported in the same article, that this requires users to learn “new systems and technology.”⁵¹ The online, updatable Proposal and Award Handbook addresses both of these points, by supporting the ongoing move to paperless work, while including easy access links to institutional support web

⁵⁰ Zoya Davis-Hamilton, Sarah Marina, and Laura Lucas. “Are We All in This Together?” *NCURA Magazine* (Jan.-Feb. 2021): 32-33.
https://www.ncura.edu/Portals/0/Docs/Magazine/2021/NCURAMagazine_JanFeb2021.pdf.

⁵¹ Ibid.

pages and help desks, as well as step by step instructions for specific tasks and accessing specific systems.

Experience with this Handbook empowers Lab research administrative team autonomy by providing guidance on a wide range of issues about the best practices and who to consult as an expert on a given task. It does not replace in-person discussions or tutorials and is an evolving repository that enables Lab RA staff to provide high level, well organized, RA support in a busy research Lab.

3.1.1. Assessment of Need.

Much of the historical RA wisdom in the author's institution has been communicated person to person or in meetings. The need for easy access to RA guidance has existed for years. In prior institutional RA paradigms, committees were formed and convened, massive binders of paper guidance were generated, and then, prior to widespread distribution, this work was eventually quashed by leadership. This is in the interest of avoiding audit vulnerability caused by failure to adhere to published guidance. In the absence of formal, institutionally approved guidance, errors may be identified as mistakes rather than purposeful non-compliance.

Based on this, the Proposal and Award Handbook was begun as a collection of work from home "tips and tricks" to expedite processing of routine and infrequent tasks. The value of the Handbook quickly evolved, as Lab research administrators recognized the value of a concise repository of action-oriented guidance. The Handbook, initiated by the author to organize and communicate a range of RA topics, now undergoes frequent revision and ongoing development based on the experience and contributions from the Lab research administrative staff.

To address the institutional concern about audits and administrative guidance, access to this collaboratively maintained Proposal and Award Handbook is limited to Lab RA, in a shared Google Document that includes a disclaimer specifying that it does not replace guidance from expert staff, including lawyers, contract and finance administrators.

3.2. Metrics.

The need for the online Proposal and Award Handbook was realized early in the period of mandatory work from home, in March 2020, as Lab research administration colleagues strove to avoid duplication of effort or working at cross purposes while working remotely.

In April 2020, the Lab's RA team expanded, and the Proposal and Award Handbook grew as RA training notes were added. Over the past year, this Handbook has also proven helpful to longer-term Lab research administrators, who use it as a reminder of established procedures and an introduction to new and updated policies and systems. The ease of updating the Handbook empowered one Lab RA staff member to revise guidance for processing unfunded proposal records. This improved communication about the process while reinforcing a sense of ownership and competence for those consulted in the revision.

In this period of mandatory work from home, anecdotal reports indicate that traffic on a Lab, budget-related email alias has gotten busier.⁵² Questions include, "How long will this grant support these people?," "Can we apply for this funding, even if

⁵² Lara Cervantes, Marlene DiMarco, and Silvia Gentile, conversation with the author, April 6, 2021.

submissions are due in less than a week?,” and “What are my options to change how this funding is used?”

RA colleagues across UCAR and NCAR are experiencing a busier workload than that experienced prior to mandatory work from home. In light of the myriad ways quarantine impacts concentration and attention spans, even the perception of additional workload could result in increased burnout. The online Proposal and Award Handbook, designed and executed under this Capstone Project, undergoes constant editing, clarification, and expansion. The outcome is a Handbook that the author’s team uses to manage work responsibilities and retain important details and concepts in these unprecedented times.

The value of the Handbook is further reinforced by the fact that RA staff in other NCAR Labs have contacted the author’s Lab, to ask “Do you have a link to the text that describes co-sponsorship?,”⁵³ and “How can I find information on NASA current and pending award lists that I know exists on the NCAR Budget and Planning website?”⁵⁴ This anecdotal evidence, and the ability of Lab RA to use the Handbook to answer these questions, demonstrates the value of the Proposal and Award Handbook.

3.3. Sources.

In June 2020 the author asked the laboratory budget team, a subgroup of the larger Lab RA staff, if ongoing maintenance of the Proposal and Award Handbook was beneficial for Lab RA or an unnecessary onus. The unanimous conclusion was that this

⁵³ Katie Summerville, NCAR Research Applications Lab (RAL) colleague, email request to the author, May 13, 2020.

⁵⁴ Barb Tunison, NCAR Atmospheric Chemistry Observations and Modeling (ACOM) colleague, phone conversation July 26, 2020.

Handbook is a necessary tool that improves Lab RA's mental health. Without the Handbook, the team would repeatedly spend time and effort seeking the information that is concisely provided in the Proposal and Award Handbook.⁵⁵

3.4. Committees.

No committees are engaged in this project.

⁵⁵ Marlene DiMarco and Silvia Gentile, NCAR CGD RA team member, in meeting with the author, June 8, 2020.

Chapter 4: Project Description

4.1. Discussion of project elements.

When mandatory remote work was initiated in March 2020, the author started the online, Lab research administration resource that quickly grew into the Proposal and Award Handbook. Initially, the author copied and adapted existing guidance that was available on shared physical servers and internal websites. Accessing these resources requires Virtual Protected Network (VPN) authentication, which can be cumbersome. By May 2020, it was clear that remote work would continue for at least several more months.

The Proposal and Award Handbook evolved in response to Lab RA requirements, and a mutual desire to maintain productivity while in mandatory work from home. The Handbook enables anyone with access to the Lab RA shared Google Drive to respond to a range of requests and actions required of Lab research administrative staff.

Prior to the creation of the Handbook, new process training was presented in short, in person meetings, and supported by the existing physical files. This was effective before mandatory work from home, but impractical in the remote work reality. The Handbook supports task completion outside of traditional work hours, which encourages self-direction and effective task completion. The Proposal and Award Handbook reduces Lab RA stress and supports productivity.

The Proposal and Award Handbook enables each of the author's 10-member administrative team to quickly and accurately respond to a variety of RA requests and tasks. The Handbook contains instructions for accessing common

systems and reports and provides hyperlinks to relevant institutional websites, offices, policies and procedures. The Handbook also centrally locates links to other task-specific RA handbooks, including detailed instructions for use of institutional purchasing software, and another regarding procedural requirements for unfunded proposals.

Chapter 5. Methodology

5.1. Methodology Overview.

The Proposal and Award Handbook was initially conceived to minimize the time and effort required to access institutional RA tools, and to distribute that information more broadly within the team. This Handbook was initiated in March 2020, as the author's team entered mandatory work from home due to the COVID-19 pandemic, in order to centralize Lab RA best practices and institutional procedures. Once initiated by the author, the Handbook developed organically as Lab RA team members updated portions to reflect current experience. Content continues to be updated based on Lab RA requirements and is collaboratively refined through RA team meetings. As a result of this informal peer review, the Handbook is relevant to each tier of Lab RA staff, from administrative assistants, to budget analysts, to administrative management. The ongoing, collaborative polishing of the Proposal and Award Handbook content reinforces team interdependence and emphasizes the value of each team member to the effective functioning of the group.

Co-locating the institutional knowledge of these inter-related tiers of RA expertise has been an important aspect of the Handbook, in that it provides the entire team an overview of all of the responsibilities borne by the Lab's RA staff. This establishes and maintains mutual knowledge,⁵⁶ as the team shares a common body of information and is aware that others in the group have similar access. As demonstrated in Cramton's

⁵⁶ Robert M. Krauss and Susan R. Fussell, "Mutual Knowledge and Communicative Effectiveness," in *Intellectual Teamwork: Social and Technological Foundations of Cooperative Work*, ed. J. Gallagher, R. Kraut, C. Egido (Hillsdale, NU: Lawrence Erlbaum, 1990), 111-145, quoted in Catherine Durnell Cramton, "The Mutual Knowledge Problem and Its Consequences for Dispersed Collaboration," *Organization Science* 12, no. 3 (May-June 2001): 347, <https://doi.org/10.1287/orsc.12.3.346.10098>.

analysis of geographically separated teams,⁵⁷ the establishment of mutual knowledge, like that provided by this Proposal and Award Handbook, negates the problems caused by “human and technological error, and selective distribution”⁵⁸ of information, which “distorts perceptions of the volume of activity in a team, and confuses the team’s pacing and timing.”⁵⁹

The value of the Proposal and Award Handbook extends beyond being a Lab RA reference and further improves team dynamics and interpersonal understanding, which has been particularly critical in this period of mandatory work from home that began in March 2020.

5.2. Project Design and Discussion.

Prior to enrolling in the Johns Hopkins University Master of Science in Research Administration degree program, the author’s research administrative knowledge developed organically, over time, through work experience, training, and communication with peers. To organize and manage the breadth of data, policies, procedures, regulations and institutional resources, the author created and adapted a range of RA tools for personal professional use. These tools served to reinforce the author’s understanding, and enable prompt, capable responses to a variety of RA requirements. These tools include process checklists, document and spreadsheet templates, and individualized reference guides for specific software applications. This guidance established the author as an informed RA professional, able to correctly address a range of RA requirements.

⁵⁷ Catherine Durnell Cramton, “The Mutual Knowledge Problem and Its Consequences for Dispersed Collaboration,” *Organization Science* 12, no. 3 (May-June 2001): 346, <https://doi.org/10.1287/orsc.12.3.346.10098>.

⁵⁸ Ibid., 360.

⁵⁹ Ibid.

These organization tools created for personal professional use and maintained by the author were updated for the Lab RA team, and the searchable, shared Proposal and Award Handbook was a natural progression when mandatory remote work was instituted in March 2020. Prior to mandatory work from home, the Lab RA team maintained a shared physical server of static documentation (e.g., Microsoft Word and/or Adobe .pdf documents). These separate guidelines served the Lab RA team needs when staff was in the office, partly due to reliable intranet access. When the Lab RA team was forced to quickly transition to full time work from home, access to these physical servers became less reliable and more complicated, requiring connection to virtual private network (VPN).

Google Drive and Documents were the logical option for this shared Handbook, due to institutional norms and practice since UCAR's 2014 adoption of Google Apps for Government.⁶⁰ Lab RA has been using shared Google drives to collaborate with both administrative peers and research staff, so situating the Proposal and Award Handbook in a shared Google Drive was a simple and attractive option. The Google Drive is accessed as easily as is email.

Google Documents are also famously collaborative; several users may simultaneously edit and comment on the same document. That the Handbook reflects Lab RA collective experience increases its usefulness. It is accessed frequently, and through use, the contents are regularly assessed to determine if instructions are relevant and accurate or requires updates.

⁶⁰ "Google Apps for Government Project Update," NCAR-UCAR Google Implementation, updated June 9, 2014, <https://tinyurl.com/7au4defc>.

The ease of access and editing of the Proposal and Award Handbook motivates Lab RA professionals to update it based on the latest information. Doing so reflects well on the contributor and provides a benefit to the team which avoids unnecessary efforts due to following outdated procedures. As a result, Lab RA staff consult the Handbook with confidence that the information within is up to date.

The Proposal and Award Handbook's position as a trusted and frequently consulted resource is further ensured by Google's capacity to keep track of document version history. Google Version History identifies the names of editors, and uses color coding to specify which changes have been made by which users. This is invaluable in a shared document as it minimizes the risk of losing necessary information. If anything is mistakenly deleted, it may be retrieved by reviewing the document history.

Originally, the author planned to organize topics into two broad research administration categories, pre-award and post-award. This structure quickly led to complications and duplications, as many Lab RA activities straddle these categories. For example, budget revision policies and procedures apply to both pre- and post-award activities.

Instead, the current version of the Proposal and Award Handbook uses a simpler to maintain structure of alphabetized topic headings. Google Documents Heading Styles enable automatic generation of a hyperlinked table of contents for the Handbook, updated by the application of Google Document heading styles. The copy of the Handbook table of contents for this Capstone Project includes page numbers.

The Proposal and Award Handbook provides institution-specific guidance that is relevant due to NCAR's status as an NSF FFRDC, jointly managed through a Cooperative Agreement between NSF and UCAR. Due to this structure, there are many policies and procedures regarding the NCAR/NSF relationship, and it is critical these considerations are addressed correctly, in order to maintain compliance with the terms and conditions of the UCAR-NSF Cooperative Agreement.

To ensure this compliance, the Handbook defines and explains the application of terms unique to NCAR, such as “Co-sponsorship,” “Computing Service Centers,” “NSF Impact Statements, Special Funds and Deployment Proposals,” and Science & Technology Opportunity/Risk Management (STORM) Fund management. Additionally, the Handbook links to separate guidance regarding processes to formalize all unfunded collaborations, which was created in response to UCAR-NSF Cooperative Agreement requirements.

The Handbook also contains links to institutional sites and systems, including to “Panda,” an internal proposal preparation and approval system and database; “IFAS,” an internal financial accounting repository that contains a broad range of financial reports and historical information, including contract life to date, monthly expenses, and Lab account key lists; “Cognos BI,” another staffing and financial reporting interface; and Kual, which is currently active for reviewing Contract actions and negotiations and managing Conflicts of Interest disclosure and reporting. Beyond links to these systems, the Handbook also

provides detailed instructions for the use of each of these systems, as well as hyperlinks to system help desks and other published guidance.

NCAR's and the Lab's work includes working with many others sponsors, not just NSF. Accordingly, the Handbook provides links to other federal sponsor sites and help desks, including those for NASA's NSPIRES, Department of Energy's Portfolio and Analysis and Management System (PAMS), NOAA Grants Online, and U.S. Department of Agriculture's National Institute of Food and Agriculture Reporting, as well as NSF's Fastlane & Research.gov. In addition to the system access details, the Handbook provides steps to follow within these systems to submit proposals, progress and final project reports, and to request other administrative actions, such as no-cost extensions, and Principal Investigator changes. Instructions in the Handbook simplifies existing sponsor use manuals, distilling information relevant to Lab RA processes.

The Handbook also provides websites and email aliases for internal pre- and post-award offices, including NCAR Budget and Planning and UCAR Contracts, and links to existing staff lists and lists of responsible parties by department, such as Finance and NCAR Lab accountants. The Handbook also contains UCAR/NCAR Organizational Information, including the shipping address, organizational identification codes, including UCAR's Data Universal Numbering System (DUNS) number, Federal Tax Identification Number, and Commercial and Government Entity (CAGE) Code.

The Handbook is also a reference for the application of specific UCAR fees, which are prohibited by some sponsors, and applicable to others depending

on proposal and award specific conditions. The Handbook also provides procedural guidance for cases in which sponsors limit indirect rates.

5.3. Discussion of Questionnaire.

This project did not use a questionnaire.

Chapter 6. Project Results and Discussion

6.1. Project Result 1.

This project resulted in an editable, searchable, on-line Proposal and Award Handbook maintained by the CGD Lab RA team. This frequently consulted, centralized Handbook enables Lab RA staff to work independently, which supports a sense of professional competence.

The value of this Handbook extends beyond task achievement, and establishes Lab RA mutual knowledge, which results in more effective communication between team members, based on access to the same facts. The establishment of mutual knowledge further encourages team members' sense of investment in the Handbook, as it reflects positively on contributing editors and supports the overall Lab RA team functioning.

The Proposal and Award Handbook gives each Lab RA team member access to a wide range of information, and as a result each Lab RA team member can respond to a variety of researcher questions and requests. This builds Lab RA confidence and improves Lab RA morale by supporting professionalism and accuracy. It also conveys to researchers that the Lab RA team is a trustworthy resource for all RA-related inquiries.

Chapter 7. Recommendations and Discussion

7.1. Introduction

RA is an important aspect of the scientific endeavor. Performed effectively, it reduces researcher administrative burden and minimizes institutional risk. As RA staff attend to business and compliance requirements, researchers are free to focus on proving hypotheses, analyzing data, documenting and reporting results. As such, researchers and RA work in partnership, which leads to successful outcomes that advance human understanding and knowledge.

The field of RA relies on a broad range of topics, from proposal submission to award management, through project closeout and audit responses. Within these areas are countless subtasks that require knowledge of institutional policies and procedures, federal regulations, and understanding of specific terms and conditions. A strong research administrator must demonstrate competence in a variety of specialties, including federal finance and accounting rules, grant and contract law, regulatory and ethical considerations.

Even the most experienced RA professional is challenged to master all of these areas, particularly when many of the requirements are executed once or twice a year. Being prepared to respond to these details is a challenge, one that is intensified in this current period of mandatory work from home due to the COVID-19 pandemic. Besides the difficulty posed by accessing files and colleagues, workers in all fields are experience burnout. “According to a Monster survey in May 2020, over half of workers suffered from burnout due to working from home. That number jumped to more than two-thirds

by July.”⁶¹ The Proposal and Award Handbook mitigates Lab RA exhaustion which leads to burnout.

7.2. Recommendations.

7.2.1. Recommendation 1: Employers Must Expand Remote Work Options

Employers need to be aware that the COVID-19 pandemic, and long-term, mandatory remote work are changing long held work structure expectations. Prior to this period, the option to work remotely was an advantage limited to those in select, often technical, jobs. The global pandemic has enabled more workers to experience working remotely, which encourages workers in more sectors to expect remote work options. Employers must consider expanding the availability of remote work, or risk losing top talent.

Remote work does pose some dilemmas, including the difficulty of establishing collegial rapport, and mutual knowledge. Solving these issues are worthy of employer attention, as research demonstrates that remote workers are effective and productive, and in fact may be more productive than in-office employees, depending on home office settings and interruption level.

⁶¹ “Yes, you can still burn out—even while working from home,” Monster.com survey, accessed March 31, 2021, <https://www.monster.com/career-advice/article/overworked>

7.2.2. Recommendation 2: Remote Workers Need Industry-specific

Reference Tools to Increase Productivity and Minimize Worker Stress during Remote Work.

The complications posed by remote work can be mitigated by use of on-line communication tools that establish mutual knowledge. On-line, searchable, and field-specific resources can support work that, like RA, requires mastery of a breadth of detailed information.

RA staff must be able to navigate grant and contract law, federal fund management standards, export control policies and procedures, protections that ensure ethical scientific conduct, protection of intellectual property, human and animal subjects, and transparent management of conflicts of interest.⁶²

To address these RA topics effectively, a shared, searchable, online Handbook is invaluable. The Proposal and Award Handbook created for this project improves research administrator performance by ensuring required information is available on demand. It improves team dynamics, by providing a source of mutual knowledge and enabling each member of the team to be responsive to researcher questions and requirements. And most importantly for worker health, it reduces researcher and RA stress.

⁶² Elliott C. Kulakowski and Lynne U. Chronister, “The Future of Research Administration in the 21st Century: Looking into the Crystal Ball,” *Research Administration and Management*, ed. Elliott C. Kulakowski and Lynne U. Chronister (Sudbury, MA: Jones and Bartlett), 32-37.

7.2.3. Recommendation 3. Resources for Remote Workers Should Develop As Required.

Don't drop everything to create a shared, searchable resource. It will be a more useful tool if it grows organically, as needs for specific procedures or guidance arise in response to daily work. By focusing on user needs and task requirements, the product will be relevant and useful.

Periodically review content with those who use it, to ensure understandability and accuracy. This ongoing maintenance ensures that the team resource addresses stakeholders' needs, and generates team identity, as individuals share and build upon one another's experiences and expertise.

Chapter 8: Conclusion

The research enterprise is critical to life on Earth, and effective RA is necessary for achievement of valid and reproducible scientific results. RA professionals must be informed regarding applicable policies and procedures, including federal regulation and institutional policies and procedures, all of which are subject to ongoing revision.

Effective management of RA roles and responsibilities requires access to relevant guidance. The volume of RA-required expertise, and the fact that the field is subject to ongoing refinement and updates extend beyond the capacity of individual RA staff to navigate without reference tools. Tools are not just crucial for effective RA task achievement, but also support the health and welfare of RA staff, who must respond quickly and appropriately to researcher and institutional requirements.

These facts are further complicated in the current long-term, mandatory remote work environment that arose in response to the COVID-19 pandemic. The increase in remote work benefits from a body of research that demonstrates that remote workers are productive, and benefit from the establishment of mutual knowledge. As an increasing number of workers and employers experience the benefits of remote work, this structure is likely to become more common in the future than it was prior to mandatory quarantine.

Remote work poses challenges for many and can lead to increased stress and a sense of detachment from team members, particularly when there is limited access to necessary resources.

The Proposal and Award Handbook created for the author's Lab RA team by this project increases the positive aspects of remote work and reduces the challenges. The Handbook provides detailed instruction and guidance for Lab RA requirements, which

eases remote task achievement. The Handbook is a living document that reflects the varied responsibilities handled by the author's Lab RA team. Access to this Handbook, with guidance applicable to all levels of the Lab RA team, including administrative assistants, proposal administrators, budget analysts and administrative managers encourages team cohesion, because each team member is aware of the responsibilities of other team members.

The Proposal and Award Handbook created for this project is now an established tool that will continue to expand in response to Lab RA experiences. This Handbook content is easily accessed and updated, and benefits from Google Document features, including search capacity, heading styles that support automatic updates to the hyperlinked table of contents, and history tracking.

The Handbook supports Lab RA professional development, by linking to existing guidance and providing Lab RA-tailored instruction for institutional and sponsor software systems. This enables Lab RA staff in every job type to respond to requests that may exceed prior individual knowledge.

The Handbook benefits from ongoing Lab RA team use and revision, ensuring that its content is clear, current, and relevant. The Proposal and Award Handbook created for this project supports Lab RA functions and individual Lab RA health and welfare, by improving access to required information and minimizing the additional stress caused by long-term, remote work.

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Appendix 1: Proposal and Award Handbook

This Proposal and Award Handbook is intended for use by CGD administrative staff only, and guidance herein is not institutionally-endorsed.

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A

Account Keys

Account Key Set up

Steps:

1. Find Kuali award number
2. Find a new account key by searching for key information in IFAS.
3. Create new account key using CGD Account key Intelligence
4. Go to [UCAR Forms](#) and click on Account Key



5. Assign an approving official (Christina) and send for approval

Naming account keys:

Sponsor + Other info that makes it different from other awards by the same PI
+CGD PI : For example ORNL 3D LAND Lawrence.

CGD Account Key Intelligence

Choose a new account number (used key combination cannot be used again even if the key is closed)

1st 2 digits: lab	3rd digit: section	4th digit: funding type	Last 2 digits: (use lowest unused number)
10 = CGD	1 = CESM/CSEG	0 = Base	0-99
	3 = AMP	6 = Other	
	4 = CAS	7 = NSF	
	5 = PPC	8 = Inter-Agency	
	6 = CCR	9 = non-NSF	
	7 = OS (aka OCE)		
	8 = TSS/IAM		
	9 = Lab Ofc		

For awards with a Kuali ID:

<https://operations.ucar.edu/tf/ifas/requesting-account-keys-with-kuali-award-id>

For awards without a Kuali ID:

<https://operations.ucar.edu/tf/ifas/requesting-account-keys>

Kuali ID for awards under current NSF Cooperative Agreement

001368-00003

Follow guidance re: what each digit of a CGD key signifies (see “CGD Account Key Intelligence,” below).

For Research Type:

Based on Collaboration level of approved Panda NCAR Criteria:

COLLJNT: Panda: 3a- Joint collaborative project with a university partner

COLLWFD- Panda: 3b- Collaborative with funding to or from a university partner

COLLNOFD- Panda: 3c- Collaborative with no funding to or from a university partner

NOUNIV: Panda: 3d- No university collaboration

New field for key set up: ASU 605 or ASU 606

The accounting department is required to track contracts that include deferred revenue. The electronic key creation form will now include a field for ASU 605 or 606

To determine which applies, the PI or Research Administrator needs to answer these question(s):

1. Does the external scientific research community and/or the general public receive a direct benefit from the work (considered more than 50% than that of the sponsor's benefit)?
 - a.) If yes, ASU 605.
 - b.) If no, ASU 606 - See question 2 if the agreement is ASU 606.
2. Are Goods or Services exchanged based on measurable performance obligations ?
If yes, this confirms ASU 606.

Account Key Title Change

Contact: Judy [REDACTED]@ucar.edu

Accounts: Specific CGD keys

Bid & Proposal Account: 100902

Staff can charge time to account 100902 for the time spent on proposals - funded or not - and revisions requested by funding agency.

Proposal administrator will send out email below to people who have been working on proposals when a new time card is due.

Sample message:

Subject: Time cards due: Charge to Bid and Proposal key 100902

Please charge the time that you worked on proposals in this pay period to account key 100902.

Bid & Proposal Account, spending expectations

This account cannot be used for travel, UNLESS a solicitation specifically requires an in-person planning meeting, and even in that case should only be done with approval from B&P in the NCAR DIR. It should only be used for "proposal planning" related to a proposal that will be submitted 6 months in the future or less, not for staff time for on-going discussions that may never result in an actual proposal.

If funds are required for such on-going discussions, sectional lab base funds may be used, but not the bid & proposal key (this is increasingly under review by auditors.)

Laboratory page charge key: 1090241 Discretionary and Awards

For annual incentive awards: the cash award is on 100901 for admin awards, 1090751 for sci awards, and then all "trophies" or cubes are on discretionary key, 309100 (also party food goes here).

Discretionary vs Residual

Discretionary - 309100

This funding is unrestricted. Any balance remaining at the end of fiscal year will be wiped and replenished for the new fiscal year.

Charges can be made directly to this key. Transfers are required to move allowable costs to other keys.

Residual – 109903

<https://operations.ucar.edu/guidelines/bf/residual-funds-guidelines>

Residual funding is a collection the funding of unspent portion of the firm fixed price award(s) and workshop registration fee(s). Residual key is restricted from the purchase of alcohol. The remaining funding will carry over from fiscal year to the next.

Donations

If funding is received as a “donation” (award documentation confirming there are no terms nor conditions on the funding) (e.g., R. Fisher’s funding award for serving as an editor of the New Phytologist journal, COA 108600) it is not necessary to do a PandA entry. Create a new key, based on CGD COA key creation guidance, Funding Source=“DONC”.

It is not necessary to include a budget. All donation funds will be entered and spent using only the UCAR G&A indirect rate, which in FY18 is 15.9%

Additional New Award Tasks

1. Determine account key, complete electronic form, and submit for approval.
2. Create e-folder in Z/grants (or P/budget/base budgets...) for the new key
3. Download Sponsor Award Docs (not only the Kuali summary page) and save in e-folder
4. Update C&P/Proposal Summary database (including actual award dates and award #), and legal sheet
5. Add to Cognos BFF reports
 - a. PI report
 - b. Section report
 - c. Grant or Base report
6. Enter award info on Funds Request/Transfer form. Save final in grant folder and email to jebud and cc: cgdawards, the PI, and the Section Admin. Attach funds request & copy of the budget, with a message along the lines of “Please input funds as shown in the attachment”
7. Direct Section Admin to search for Project Abstract on sponsor site; update Spreadsheet for Newsletter
8. Lara or Christina will update staffing in FAB

New Award Abstracts

NASA Awards: <https://www.nssc.nasa.gov/grantstatus>, https://cce.nasa.gov/cgi-bin/cce/cce_awards.pl

NSF Awards: <https://www.nsf.gov/awardsearch/> (search on award #, title, PI, and more!)

NOAA Awards:

https://grantsonline.rdc.noaa.gov/flows/publicSearch/begin.do;jsessionid=JHsDfGTLIKhKJx12hty3nHPpqfgZmSw_hSJ5W7Ff1GCXHblnT5J4G!684238931

For Special funds from NSF:

For IA Interagency Awards: Use the NSF Cooperative award number and the Coop Agreement start and end date

Award CloseoutTasks

45-60 days in advance, calculate spend out plan and communicate with PI and all staff on project.

Once key balance is +/- \$25:

1. Email accountant to request key be moved to WRAP status
2. remove the account from Cognos BFF reports.
3. Move the account folder under Z/grants/ to WRAP'd folder
4. Remove from legal sheet
5. Move this award to "declined-closed" tab in Proposal C&P Info (Z:/Proposals/C&P Generation/Proposal C&P Info)

Alias email lists

Creating New

ISG recommends (3/10/21) we use Google groups for custom aliases: <http://groups.google.com/>

UCAR/NCAR aliases

UCAR Contracts questions: f [redacted]@ucar.edu (Manager is Amy S [redacted] 303-497-8 [redacted] [redacted]@ucar.edu)

UCAR Procurement questions: [redacted]@ucar.edu (Manager is Allison Pr [redacted] 303-497-[redacted]@ucar.edu)

NCAR Budget & Planning questions: [redacted]@ucar.edu (Manager is Valerie [redacted], 303-497-[redacted]@ucar.edu)

CGD aliases

Barb Vlasity will notify Tracy with any changes

- All CGD, except visitors (This alias is maintained by ISG): [c\[redacted\]ucar.edu](#)
- All CGD visitors (This alias is maintained by ISG): [c\[redacted\]car.edu](#)
- Section aliases (Maintained by section admins) [a\[redacted\]r.edu](#)
[\[redacted\]ar.edu](#) [c\[redacted\].ucar.edu](#) [c\[redacted\]ucar.edu](#) [\[redacted\]car.edu](#) [\[redacted\].ucar.edu](#)
[\[redacted\]car.edu](#)
- All CGD administrative staff (not including Jean-Francois Lamarque):
[\[redacted\]car.edu](#)
- Associate Scientists: [\[redacted\]car.edu](#)
- Information Systems Group ISG: [\[redacted\]car.edu](#)
- Lab Office : (This alias serves as the means by which the division office gets included in the “all cgd alias”): [\[redacted\]ar.edu](#)
- Awards team: [\[redacted\]ucar.edu](#)

Article 57 (NSF Cooperative Agreement and International Collaboration)

[UCAR Spreadsheet of Admin Questions](#)

New International Collaboration, funded or not?

Researcher must provide the following, BA Team will forward to B&P (current process 1/27/21)

1. description of the intended scope of the potential collaboration;
2. how the activity contributes to the mission of NCAR;
3. the organizations proposed to be involved;
4. the duration of the effort;
5. any possible exchange of facility access or non-public data;
6. provisional concepts of governing structures;
7. the associated benefit to the U.S. scientific community; or other thing of value.

B

Budgets

General Federal Budget guidelines

(be sure to check the specific award documentation)

Remember, for most federal awards, as long as the budget category exists on the awarded budget, you can swap spending between categories (e.g., spend money budgeted for PS as salary +) as long as the spending swap is not more than 10% of the award total (all years). If the swap is higher than 10% of the total award amount OR if a budget category needs to be added after award (e.g., we don't want a laptop, we want a trip!), then sponsor approval is required.

Budget Justifications (Proposals)

Meals

NSF budgets: NSF will only cover beverages for breaks, no food (cookies, bagels, etc), AND working meals. The working meals' costs need to be justified and costs broken out per person. When proposing meals for workshops, conferences and collaborative meetings, budget justifications should include the following details:

Full description of the business purpose of workshop / meeting & anticipated goal of the meeting

Location and venue of the workshop / meeting

Name of hotel, etc. or UCAR location (On site workshops / meetings may be more cost effective and, therefore, more favorable)

Number of UCAR and non-UCAR participants (including affiliations), when known

Full description of all associated costs (Breakfast, breaks, lunch, dinner, etc.)

Events that are social in nature with no business purpose are unallowable (and always have been) These costs are deemed to be unnecessary for the conduct of the research project
Recommend that budget justifications do not have a reference to alcohol.

Words describing 'Social' events Reception

Retreat

Wine and Cheese Ice Breaker

Anything with the term "Social"

Words describing 'Non-Social' events Business networking event
Round table Collaborative discussions

Budget and Planning Proposal Preparation links

<https://internal-ncar.ucar.edu/budget-and-planning> <https://internal-ncar.ucar.edu/budget-and-planning/proposals>
<https://internal-ncar.ucar.edu/budget-and-planning/proposals/policies-and-procedures/proposal-deadlines> <https://internal-ncar.ucar.edu/budget-and-planning/proposals/policies-and-procedures>
<https://internal-ncar.ucar.edu/budget-and-planning/internal-proposal-checklist>

Budget Revisions

Revised budget process, and a template for the email communication with B&P, can be found here: <https://internal-ncar.ucar.edu/budget-and-planning/proposals/proposal-and-budget-development>

C

CGD Proposal website

<https://www.cgd.ucar.edu/for-staff/resources/proposals/?ref=for-staff>

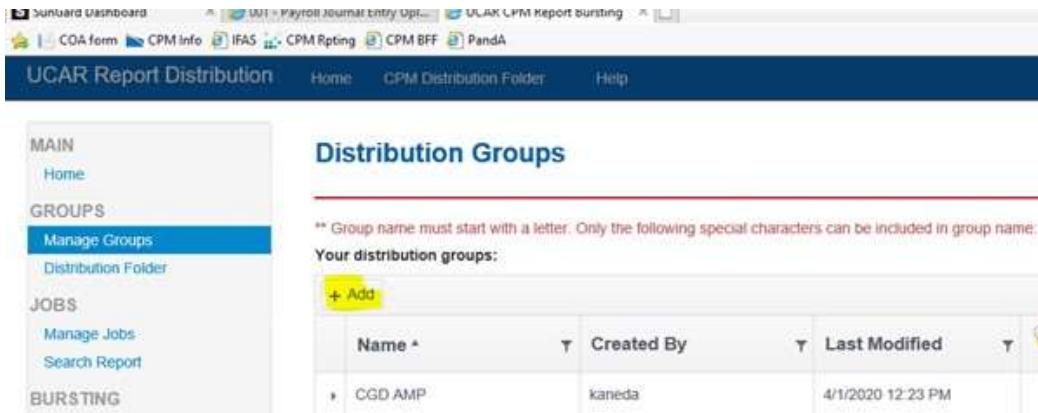
Cognos Report Distribution / BFF Report Guidance

Each new key will be added to 3 reports:

- The PI's report
- CGD Grants or CGD base
- The PI's section report

How to Create a new Cognos BFF report

(for users not yet in the system)



Use Internet Explorer/ [UCAR Report Distribution](#)

1. If the group/PI name doesn't yet exist, go to Groups/Manage Groups, and click on +Add
2. And name the report.
3. Then, you will use the "user" and "account key" buttons to add content to this report that now has a name...



(This is pretty intuitive... so I'm not giving all the details here)

If you see open checkboxes, as below, you have not completed that step.

In this example, I have not yet assigned a "job" to this new report. This is the last step to do.

4. You have to assign at least one key to the new report/user, or you can't assign jobs (which makes sense. Otherwise a "job/report" could be distributed with nothing in it).

+ Add									
Name *	Created By	Last Modified							
CGD Small	cbook	5/15/2018 5:32 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	User	Acct Key	Edit	Delete
CGD SPER	kaneda	10/15/2019 4:27 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	User	Acct Key	Edit	Delete
CGD Spivak	cbook	6/1/2020 5:43 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	User	Acct Key	Edit	Delete

1. To assign the job to the report, now go to Jobs/Manage Jobs



2. And then click on “Assign Report”

Bursting Jobs

Your Job List:

+ Add					
Job *		Created By	Last Modify		
+ month end	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	kaneda	5/1/2020 3:01 PM	Assign Report	Edit Delete

CGD is using the reports on the right, highlighted below:

3. Click on Assign Group

Assign Report for: month end [Back](#)

To add (remove) reports, please select a report or use Ctrl or Shift key to select multiple reports.

Available Reports:

Add

Name *
Budget and Financial Forecasting - Regular Detail
Budget and Financial Forecasting - Regular Detail Printable
Budget and Financial Forecasting - Regular Summary
Budget and Financial Forecasting - Regular Summary Printable
Budget and Financial Forecasting - Snapshot Detail
Budget and Financial Forecasting - Snapshot Summary Account List

Current Reports:

Remove

Name *	Report ID
Budget and Financial Forecasting - Snapshot Detail Printable	Assign Group
Budget and Financial Forecasting - Snapshot Summary	Assign Group

1 20 items per page 1 - 2 of 2 items

4. Select the report names you want to add, and click “Add” now that job is connected to the new report name. Do the same for the 2nd available report.

Assign Group for: Budget and Financial Forecasting - Snapshot Detail Printable

To add (remove) distribution groups, please select a group or use Ctrl or Shift key to select multiple groups.

Available Groups:

Add

Name ^

CGD Spivak

Details

1

10

items per page

1 - 1 of 1 items

Current Groups:

Remove

Name ^

CGD AMP

CGD Bachman

CGD Bacmeister

CGD Bailey

Now, all the checkboxes here are checked:

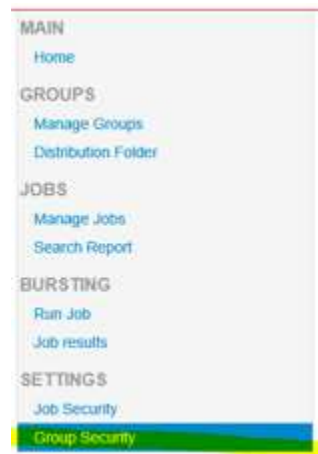
Distribution Groups

** Group name must start with a letter. Only the following special characters can be included in group name: _ & \$ () ! * ~ + { } | % -

Your distribution groups:

+ Add									
Name ^	Created By	Last Modified							
CGD Small	cbook	5/15/2018 5:32 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	User	Acct Key	Edit	Delete
CGD SPER	kaneda	10/15/2019 4:27 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	User	Acct Key	Edit	Delete
CGD Spivak	cbook	6/1/2020 5:43 PM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	User	Acct Key	Edit	Delete

- Group Security: To ensure CGD Accounts can view whatever new report you make. Go to Settings/Group Security.



6. Grant access to user grouping:
 - a. Select Cognos CGD Accounts
 - b. Select groups to assign
 - c. Choose a group (example CGD Bacmeister) and
 - d. click "Assign"
 - e. Repeat for any other new groups

Group Security

Click on the UPDATE GROUP ACCESS bar to start change access.

Update Group Access

Grant access to user grouping:

Cognos CGD Accounts

Select groups to assign:

Assign

Name
CGD AMP
CGD Amrhein
CGD Bachman
CGD Bacmeister
CGD Bailey
CGD Base

1 - 10 of 51 items

Current Group Access List

Cognos BFF Run Report

1. Go back to BURSTING: Run Job
2. Select RUN.
3. and in a few minutes click on PREVIEW.
4. Make sure that each group has two reports assigned , and check that the new ones that you just added appeared on the list.

Run Job

Runnable jobs:

Job *	Created By		Subject	Status	Last Run		
month end	kaneda		Month end reports	Complete	5/4/2020 3:06 PM	Run	Preview

5. To check the status, click on Details
6. Make sure all reports have successfully run (for each report, both the snapshot summary and snapshot detail printable) then
7. Send Notification

Budget and Financial Forecasting - Snapshot Detail Printa
Budget and Financial Forecasting - Snapshot Summary
Budget and Financial Forecasting - Snapshot Detail Printa

1 2 3 4 5 ...

Send Notification

Refresh

Cognos BFF Edit email message

1. Go to Jobs/Manage Jobs/ Edit

UCAR Report Distribution

MAIN

Home

GROUPS

Manage Groups

Distribution Folder

JOB

Manage Jobs

Search Report

BURSTING

Run Job

Job results

SETTINGS

Job Security

Group Security

Edit

Delete

2. Update as desired.

Cognos BI / To look up history of staff funding (to 1994),

1. Go here:



2. Then choose 4th report on list, as shown below:



3. Search year by year OR Hours Worked by Pay Period.

Cognos BI email list for questions/support

<http://mailman.ucar.edu/mailman/listinfo/cognosbi>

Consultant status for NCAR employees

Per Contracts: It is not appropriate to classify UCAR has a consultant in a proposal to NSF. UCAR does not offer "consulting services" in the sense meant by NSF. In addition, we do not have daily rates as indicated in the relevant section of the NSF PAPPG for consultants.

Collaborative Leave

Travel to/from the collaborative leave location for the employee and spouse/family at the start /end of the leave is covered by CGD funds (RT for staff and family members) per email from J-F Lamarque 10/25/18

Contacts:

UCAR/NCAR Budget & Planning (B&P)

Website: <https://internal-ncar.ucar.edu/budget-and-planning>

Email alias: [redacted]@ar.edu

Budget & Finance Staff Matrix (Accountants & Travel Contacts as assigned to Labs)

<https://www2.fin.ucar.edu/bf/division-contacts>

Contracts Staff Assignment Matrix

<https://www2.fin.ucar.edu/contracts/staff-matrix>

Sponsored Agreement Office Contact Email for Award actions, including proposals:

_____@ucar.edu Contracts Procurement Email: _____@ucar.edu

Computing Service Centers (CSC)

<https://www.fin.ucar.edu/guide/centernew.html#servicectr>

CSC allocation - changing lab affiliation for CSC in IFAS

Login to IFAS.

Near bottom of page, see CSC Allocation tab and click on CSC Allocation. Follow field guidance as shown below under “UCAR CSC Change Form,” and Save. The system will prompt you to use a start date based on the pay period -- pick the earlier date that the system provides.

A screenshot of a web form titled "UCAR CSC Change Form". The form has a light gray background with white input fields. At the top, it says "Search by PEID or Employee Name". Below this is a link "Enter Search Criteria". Then, there is a label "Employee ID or Name" followed by a text input field with the placeholder "Enter a Name or Id." and a blue dropdown arrow. Below the input field are two buttons: "Search" and "Clear Search Criteria". A horizontal line separates this section from the next. The next section is titled "Change CSC Support Division". It contains a label "Select CSC Support Division" followed by a dropdown menu, and a label "CSC Rate" followed by a text input field. Below these is a label "Enter Effective Date" followed by a date picker widget. At the bottom of the form are two buttons: "Save" and "Cancel".

Concur

to look up receipts for “non-UProcure” charges

In IFAS transaction detail, one column is “Reference #.” To use this to look up items paid via Concur, go to Concur, click expense, then process report, then search by the report key (e.g., “Reference #”) and enter the # and you can find the receipt.

Concur and Reporting

Can delegate reporting access to anyone (up to 2 people at a time) -- add a delegate, select Can Use Reporting

checkbox. Delegate will have access to the Reporting > Intelligence link when acting.

Note: in Concur, the BI reporting option will only show data for supervised employees.

“Intelligence” reports should show all staff.

Use the following report in Concur/Cognos:

Reporting/Intelligence (NOT BI Intelligence)/UCAR/Report Information enter prompts, can use only CGD...

Co-Sponsorship

A person must be on NSF base funds to be eligible to cosponsor time. No other fund sources can be “co-sponsored.”

Co-sponsorship includes staff time (for staff paid by NSF base, usually Sr. Personnel) and NCAR HPC (high-performance computing).

Co-sponsorship level must be less than 15% of effort, each person, and no more than 15% of total budget, but that's not all!

The “co-sponsorship leverage ratio” must be <15%, and is calculated by Cosponsorship total divided by cosponsorship total + requested funds.

NSF & NOAA proposals

do not show co-sponsorship information on budget or budget justification, but do include info about the staff time or core hours being provided in the facilities/equip document(s).

NASA proposals

Show co-sponsorship information in facilities document and work effort tables (but only ala “NCAR provides, at no cost to the project....”

Crystal Reports to generate Current and Pending forms

To suppress or un suppress a field

(for example, Prop #, needed only for PI review)

Select the field,

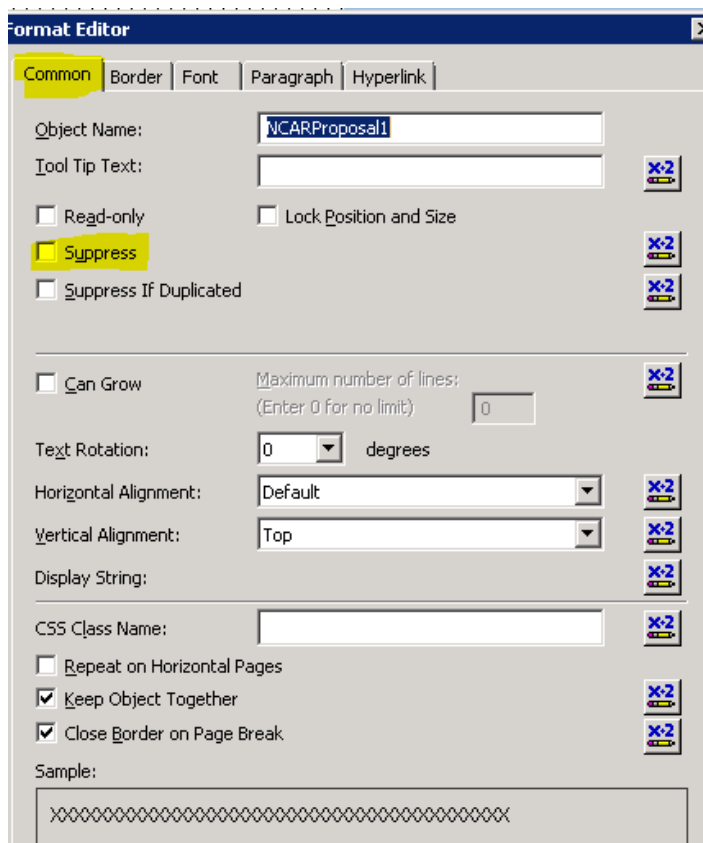


Choose format editor icon (looks like a grid on the toolbar --hover over until you see "format")

This arrow is pointing to the format editor icon.....

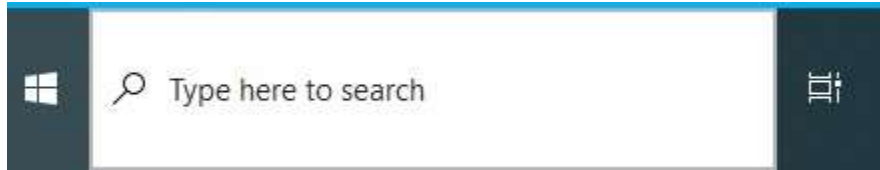
Or you can right click on the field, then choose "format field."

Common tab... look for suppress check box, and uncheck or check as needed:



Crystal Reports: How to Access and Print report(s)

In Windows search bar (bottom left corner of monitor), type in “RDP” (or RDC, both work)



Choose, or enter `cgdterminal.cgd.ucar.edu`:



Connect, and use your CIT password

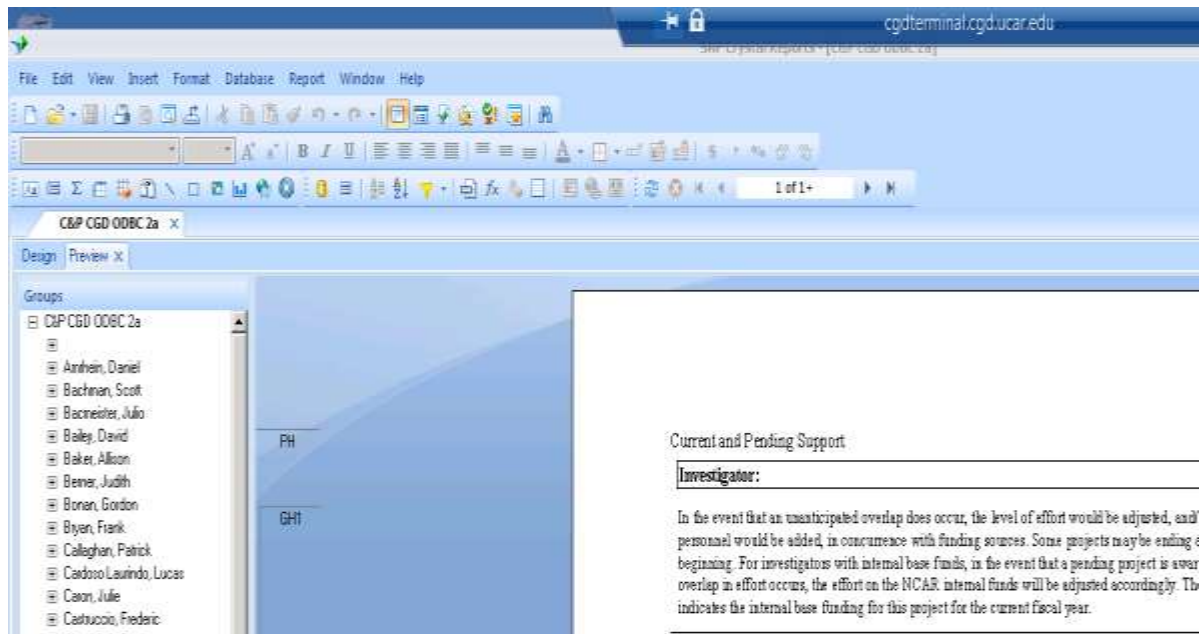


Navigate to Z drive to get to Crystal Reports (Z/proposals/C&P Generation/Crystal) (or find CR icon as shown here):

Chose C&P CGD ODBC 2a if award amounts can show (if it's for NASA, choose C&P CGD ODBC 2_NASA)

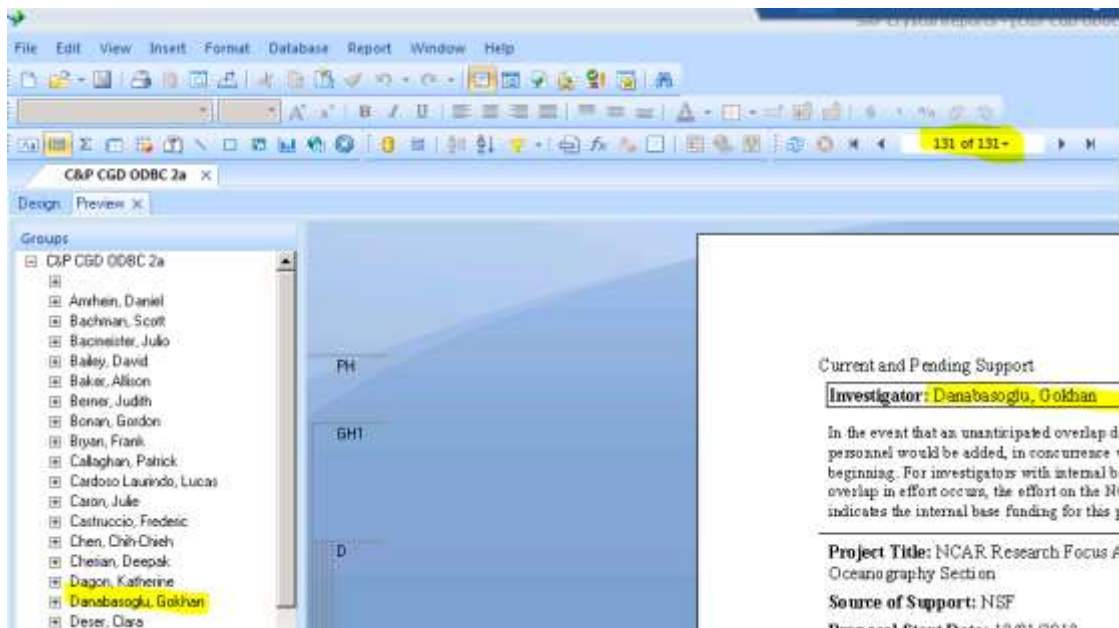
NOTE: if generating for researcher review, look above and follow instructions to un suppress proposal numbers, this will make it easier to review.

Now you are here:



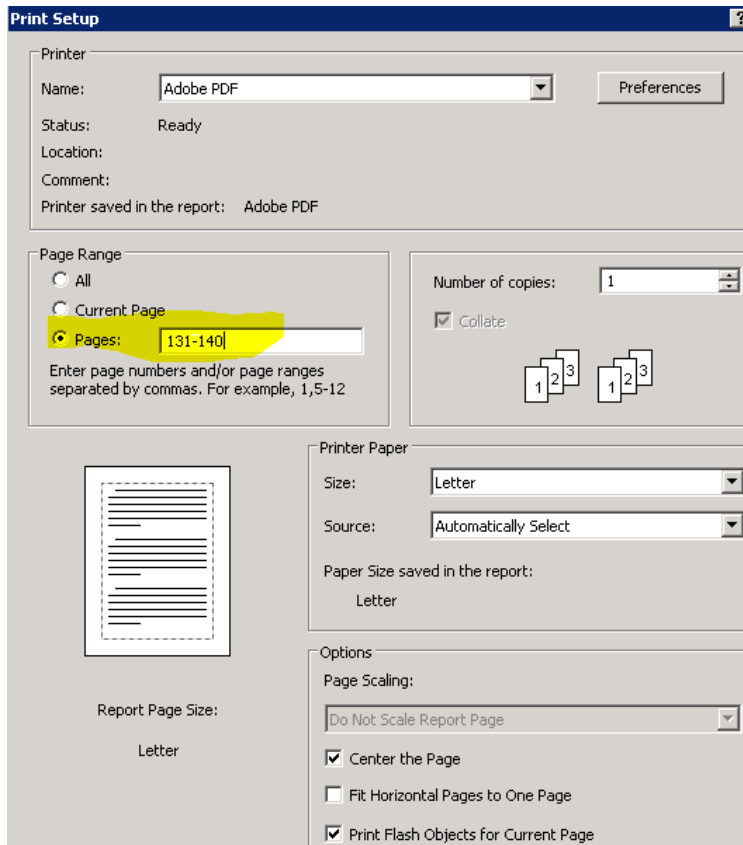
On Preview tab, choose the researcher whose report will be generated...

By clicking on that name in the list of Groups, the preview goes to the first page of that person's C&P



Now use the page numbers (highlighted above, top right) to see this individuals page span. This sample record is from pages 131 to 140...

Now, go to File / Print, and indicate Page Range of 131-140



Print, and look for this icon to appear, then select it to choose a location for the printed file...



One can choose Z/Props/C&P-Staff / researcher name.

Save with a new file name, like "NAME CnP from CR_061720" and save as .pdf.

When you're satisfied with the output, close the C&P in the remote terminal, close CR in the remote terminal and close the remote terminal.... (these all need to be closed before you edit anything in the C&P generation database)

Current & Pending

General Info

If no cost extension is awarded, project end date should reflect that date

Include unfunded projects if there is “time commitment” on the project

Include funded projects with no time commitment (PI must co-sponsor time)

C&P footnotes and NSF-specific guidance

Detailed information here: Z/Proposals/C&P staff/C&P footnotes + NSF guidance

D

Data Access, Data Management

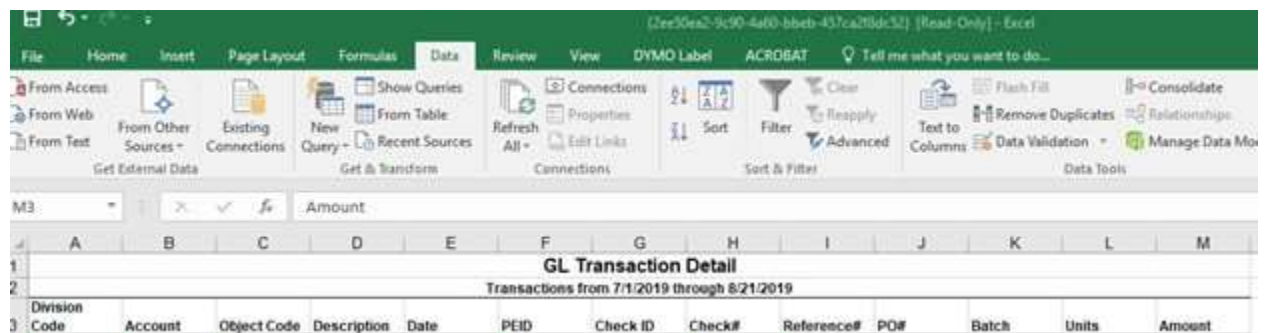
See resources here: Digital Assets Service Hub (DASH)

<https://www2.cisl.ucar.edu/dash>

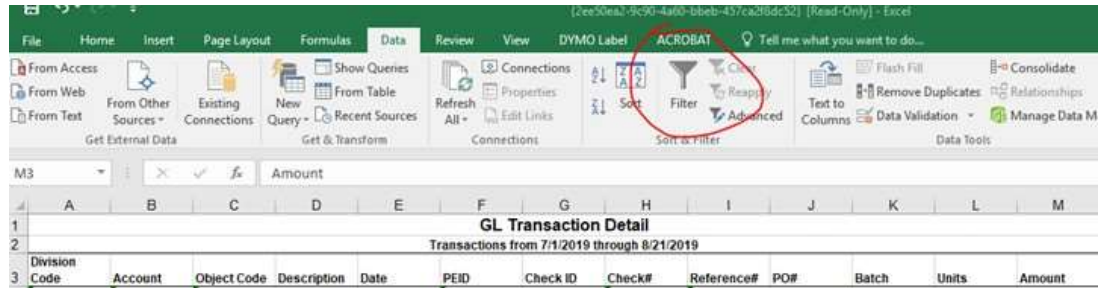
E

Excel – filters

Go to DATA tab



Select row/cells to filter, and click on FILTER (funnel icon)



Now the filtering row has little boxes with arrows on them:



By clicking there, you can sort things in order, or un-check-mark things you don't care about, etc.

Every object code below is 'unchecked' except "52xx" object codes, and so the data table shows only "52xx" = "materials / supplies":

Division Code	Account	Object Code	Description	Date	PEID	Check ID	Check#	Reference#	PO#	Batch	Units	Amount
10	100901	5245	PAPER CHG	07/10/2019	N/A	N/A		FX619		JE025568	0.00	165.00
10	100901	5245	PAPER CHG	07/10/2019	N/A	N/A		FX619		JE025568	0.00	141.00
10	100901	5245	FAISON OFF	08/13/2019	V39517	AP		2087439-0	P2005658	JG190104	1.00	55.33
10	100901	5246	FAISON OFF	07/03/2019	V39517	AP	00753718	2084222-0	P2004604	JG190090	1.00	2.52
10	100901	5246	FAISON OFF	07/03/2019	V39517	AP	00753718	2084222-0	P2004604	JG190090	1.00	12.01
10	100901	5246	FAISON OFF	07/03/2019	V39517	AP	00753718	2084222-0	P2004604	JG190090	1.00	50.00
10	100901	5246	FAISON OFF	07/03/2019	V39517	AP	00753718	2084222-1	P2004604	JG190090	1.00	27.92
10	100901	5246	FAISON OFF	07/03/2019	V39517	AP	00753718	2084222-0	P2004604	JG190090	2.00	2.64
10	100901	5246	FAISON OFF	07/23/2019	V39517	AP	00754162	2085754-0	P2005064	JG190096	5.00	7.50
10	100901	5246	FAISON OFF	07/23/2019	V39517	AP	00754162	2085754-0	P2005064	JG190096	1.00	6.99
10	100901	5246	FAISON OFF	07/23/2019	V39517	AP	00754162	2085754-1	P2005064	JG190096	5.00	7.50
10	100901	5246	FAISON OFF	08/13/2019	V39517	AP		2087439-0	P2005658	JG190104	2.00	54.00
10	100901	5246	FAISON OFF	08/13/2019	V39517	AP		2087439-0	P2005658	JG190104	1.00	29.76
10	100901	5246	FAISON OFF	08/13/2019	V39517	AP		2087439-0	P2005658	JG190104	1.00	9.49
10	100901	5246	FAISON OFF	08/13/2019	V39517	AP		2087439-0	P2005658	JG190104	1.00	25.93
10	100901	5282	STEELCASE	07/30/2019	V03858	AP	00754140	115259534	P2004241	JG190098	5.00	4,269.40
10	100901	5282	FAISON OFF	08/08/2019	V39517	AP		2087155-0	P2005573	JG190102	6.00	1,019.70
10	100901	5282	JPMCHASE I	08/13/2019	V33089	WT	00043931	61845	P2005394	SU190078	2.00	1,800.00
10	100901	5289	JPMCHASE	07/18/2019	V33089	WT	00043780	29800		PC190030	1.00	151.05
10	100901	5289	JPMCHASE	07/18/2019	V33089	WT	00043780	29800		PC190030	1.00	108.97

F

FAB Tools Overview

<https://fabr.ucar.edu/docs/cpm-overview-what-cpm>

FAB Copy Processes

Go to Processes / Scenario Management - Copy / choose S1 (to overwrite term date changes)
(see FAB resource for other options)

Source scenario: incurred actual Destination scenario: working plan

Enter employee or HR org: (choose employee if desire to NOT overwrite recent changes, or choose lab to do for entire lab, etc.)

FAB UI Task Instructions

To determine a staff member's hours on base (as well as on other keys

FAB-UI Application: hourly

Choose "Salary Planning" – Employee Account Allocation – Monthly – Data Entry Filter: All CGD

Emp FY16, Scenario: Working Plan

Determine which are base keys

To get loaded salary, rather than hours: use reports, employee projections - annual

Filter: CGD Employees FY16

Add up "total loaded salary" and PCT on key to put on NSF C&P, with footnote.

On C&P, loaded annual salary will be "award amount" and PCT on key will be translated to person months.

G

Google Group Calendars

B&P Planning Calendar: Under "my calendars/settings" I could see a lot of calendars, some of which I had "hidden" at some point in the past. I check-marked "show in list" for the B&P Planning Calendar, and voila!

Overview calendars: Once subscribed, the process above should work. But if you're not subscribed, go here: <https://sites.google.com/a/ucar.edu/google-apps-support/ucar-overview-calendars>

Click on the “+” for each calendar to add/subscribe.

Grants.gov

The Budget and Planning office ([REDACTED]@ucar.edu) approves new access requests to this system.

H

I

Incoming awards:

UCAR Wire versus UCAR ACH

Ask Finance for current bank details.

UCAR Wire is for funds originating outside of the U.S. UCAR ACH is for funds originating from a U.S. location.

Information Services Group (ISG) accounts

109069: “WELL FUND,” covers scheduled desktop replacements

109099: ISG salaries; items <\$5K, including toner & replacement discs; ALL SOFTWARE, INCLUDING THAT WHICH IS OVER \$5K!

351000: Capital Equipment Refurbishment (formerly “bond fund”) 100901: copier leases & maintenance

IFAS

IFAS <https://ifas7iprod.fin.ucar.edu/ifas7/login/login.aspx> USE INTERNET EXPLORER!!

Username and CIT password

List of active keys from IFAS

Go to “all” tab

Reports/CDD Reports/UCAR Reports/Utility/Account Key Detail with/No Criteria; Select All
Division Code: 10

Status: A

(others can be left at default) Run report to Excel: Y

Save copy in the Accounts Folder and date (i.e CGD keys per IFAS_040417)

Transaction Detail by Division, Program, & Object (RXTXNRPT)

To see what's been charged on a given key in a given period, run "Transaction Detail by Division, Program, & Object (RXTXNRPT)" (highlighted below)

The screenshot shows the IFAS Dashboard with the UCAR logo and navigation links. The 'Admin Reports' section is expanded, displaying a list of reports. The report 'Transaction Detail by Division, Program, & Object (RXTXNRPT)' is highlighted in yellow. Other reports listed include 'Budget to Actual by Division, Account, and Exp Class - Four Budget Versions (Use BUDRO/Use MM3BUDRO)', 'Budget to Actual by Account and Exp Class (Use DWPPE/Use KEY)', 'Budget to Actual by Contract and Exp Class (Use Contract)', 'Budget to Actual by Account and Object', 'Contract Life to Date (USE CONLIFE)', 'MDC by Account Key', and 'CSC Designation Report'.

In this example, let's look at all charges on 100901 from July 1 – August 21 Please note that we do want to run this to Excel, so we can manipulate the data output.

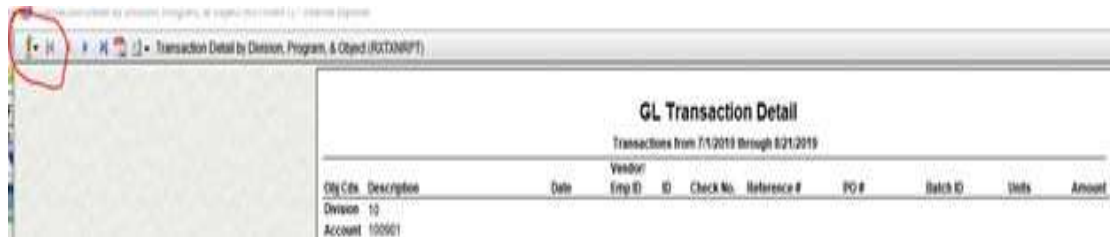
The screenshot shows the 'Transaction Detail by Division, Program, & Object (RXTXNRPT) / Prompts for Selection' form. The form contains the following fields and values:

Field	Value
Enter the Start Date:	7/1/2019
Enter the End Date:	8/21/2019
Purchase Order#:	*
Division Code:	*
Account Key:	100901
Object Codes:	*
Vendor/Employee ID:	*
Do you want to run this report to Excel (Y/N)?	Y

The 'Do you want to run this report to Excel (Y/N)?' field is highlighted in yellow. A yellow paperclip icon is visible near the top left of the form. A 'Submit' button is located at the bottom right.

Because this report request indicated it should be run in Excel, the paperclip near the top left of the screen is yellow.

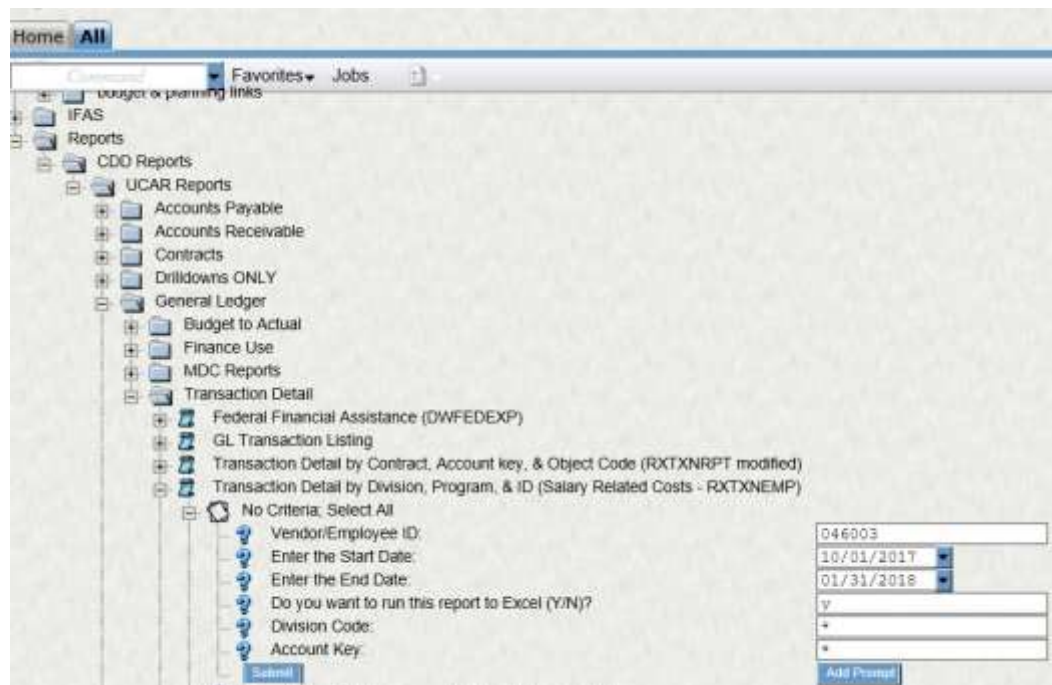
By clicking there provides access to the report in Excel



Save the Excel report, at least temporarily, so it's not accidentally closed/lost.

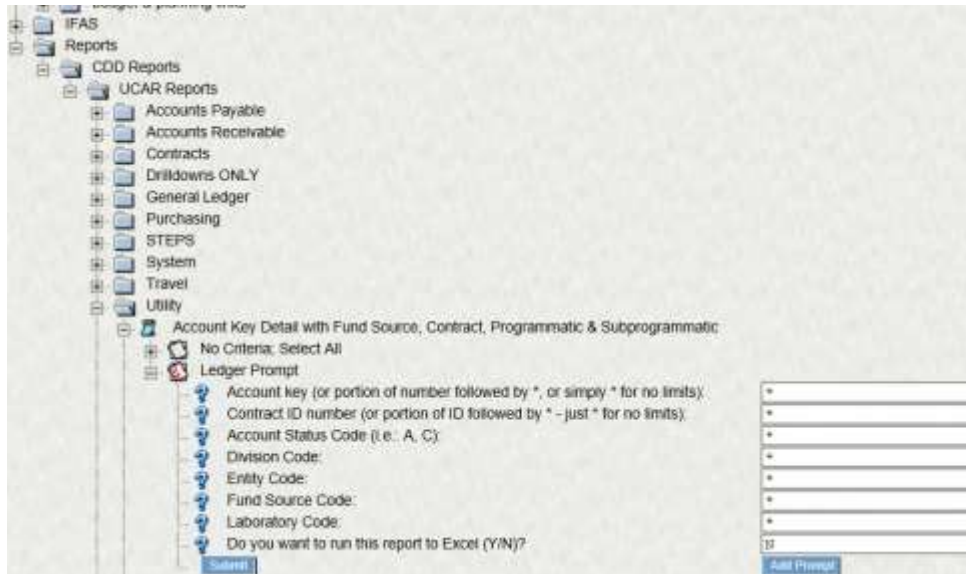
IFAS Txn detail - another method (RXTXNEMP)

On "all" tab, choose as shown below



To cross reference with account keys:

1st, get master list of keys, as shown here (do run to Excel):



Then add COA table to RXTXNEMP table, and create a lookup to get spreadsheet to self inform what key titles/funds sources are.

Report of Funding added to the account

UCAR reports/General Ledger/Budget to Actual/budget Details by Account by Obj by Date

Division Active Account Key Report

All/CDD Reports/Utility/Account Key Detail with/No Criteria; Select All

Account Status Code: A

Division Code: 10

Download in Excel

Save a copy on Z:/Accounts/CGD keys per IFAS_(date such as 050417).xls

To get FY spending “snapshot”

Use the DWPRE report.

To be able to drill down to incurred and encumbrance detail

Use account key by expense class

To review NSF RCORE

From Home tab, run MM3BUDRO (downside of this is that once run and exported to excel, you lose the key names...read below for way to avoid that)

Budget to Actual by Division, Account, and Exp Class - Four Budget Versions (Use BUDRO Use: MM3BU)

Enter the Month-end Date:	6/30/2018
Do you want to run this report to Excel (Y/N)?	Y
Contract #:	*
Entity Code:	*
Fund Source Code:	NSFRCORE
Laboratory:	*
Exclude contract revenue code (enter N/A to include):	9999
Account Status (A,C,I):	*
Billable:	*
Account Key:	*
Division:	10 X
Facility Code:	*
Subfacility Code:	*
Subprogrammatic Code:	*

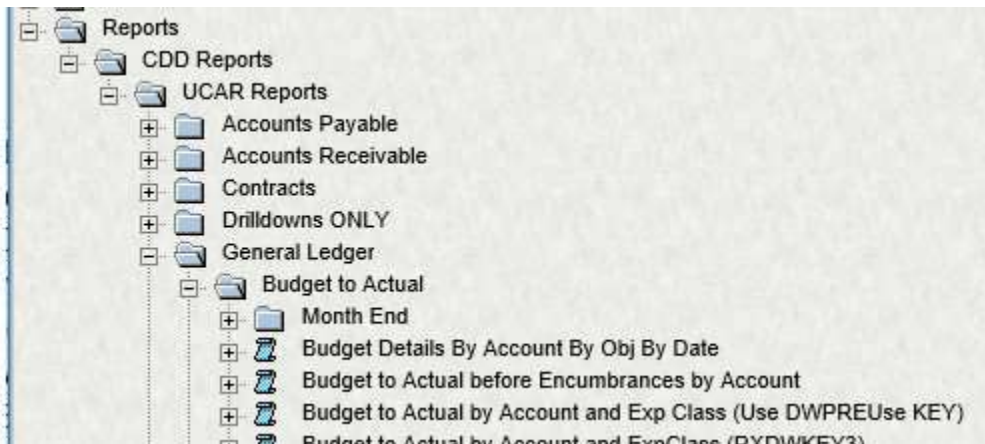
To use same 3BUDRO to view SPERs only:

Enter all fields as shown above, and add in the "Billable" field the word "SPER"

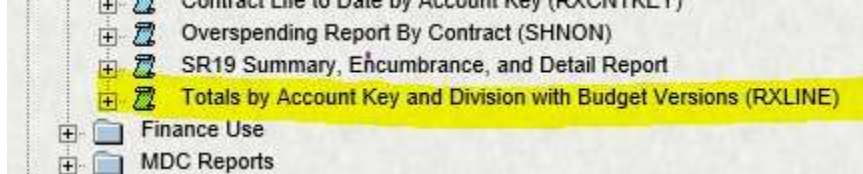
Billable:	SPER
-----------	------

To review NSR RCORE summary page

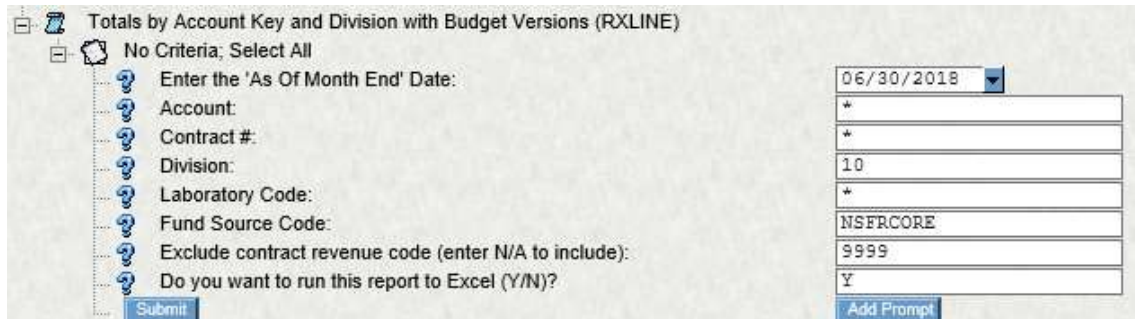
Under "All" tab:



("RXLINE" is the last in the list under "Budget to Actual...")



Enter these prompts:



This will lead to report, which, when exported to excel, is a great 1-page summary of NSF core status.

To view indirect status

Use "INDIRECT" in Fund Source Code field

J

JE (Journal Entry) Funds Transfer

Keep in mind that from=credit and to=debit.... Are you moving charges FROM overspent account? Then that is the credit account on the spreadsheet.

Not moving money but rather expenses! (The debit key is being charged and increasing its expenditures and the credit key is being reimbursed, or decreasing them.)

6. TO/DEBIT - Enter the account key and object code in the TO/DEBIT column for the account that is being charged or increasing its expenditures. Only enter one (1) account key and object code per line. In addition, the object codes should be the same, unless the original entry coded the item incorrectly.

7. FROM/CREDIT - Enter the account key and object code in the FROM/CREDIT column for the account that is getting reimbursed or decreasing its expenditures. Only enter one (1) account key and object code per line. In addition, the object codes should be the same, unless the original entry coded the item incorrectly.

Journal Entry

Transactions over 4 months old must have Chief Financial Officer approval

Current salary and rates will apply based on the time JE is requested IF NSF has approved the current rates.

IF NSF has not approved the current rates, the most recent APPROVED rates will be applied.

Except for Computer Service Charge (CSC) rates. Those will apply based on the current fiscal year CSC rate.

All JE transfers should be sent to the [j\[redacted\]@ucar.edu](mailto:j[redacted]@ucar.edu) alias

Payroll (salary) transfer

Calculate the number of hours you need to transfer using cost estimate worksheet (this is not always necessary, depending on what needs to be done).

Go to Cognos Public Folders > UCAR Reports > Financial Reports > General Ledger> (works best in Google Chrome browser)

Select Shortcut to 001 - Payroll Journal Entry Upload _ Excel

Select the transaction query.

Modify hours and \$ amount required to transfer on the Excel worksheet. Number of hours cannot exceed the original amount. If needed use multiple pay periods starting with the most recent transaction.

Forward the worksheet to the employee with justification for the employee approval. The employee should reply to your email with his/her approval.

Forward the email with employee approval, justification and the worksheet in EXCEL format email attachment to [c\[redacted\]@ucar.edu](mailto:c[redacted]@ucar.edu) (Finance will not process screenshot or snipping tool)

Christina will review and forward the request to Finance.

Review month end or IFAS report to make sure the transfer is done. If not, contact Christina.

Make sure there are no "JE" items in Pay Period column - that means those hours were transferred previously, and it's unlikely that re-transferring can be justified.

Sample message to staff whose time is being moved:

Please review payroll JE request attached. This is to move 22 hours from 109076 to 109069 for your time spent on GSFC project (109069) that were charged in error.. Please reply to this email with your approval. (Describe the work, not just the project)

Sample message to jebud (Finance alias):

Please find payroll JE request attached. Peter has worked on GSFC project (103969). The tasks performed were doing tests to finalize the integration between CLUBB and MG microphysics to reduce supersaturation violations in CAM.

Non-Payroll transfer:

(See below for partially paid expenses processed through Uprocure)

(If the PO is fully paid then you will only need a JE to move the expense.)

1. Go to Cognos Public Folders > UCAR Reports > Administrative Reports > Utility Reports> (works best in Google Chrome browser)
2. Shortcut to 001 - Non-Payroll Journal Entry Upload_Excel
3. Select the transaction query.
4. Note: Transfers never include overhead, since overhead automatically "sticks to" the direct costs it is associated with. So remove it from the worksheet.
5. Save worksheet under Z: PostAwards/Transfers/JE non payroll/FY19. Filename should be account from to account to, and brief description. Example: "109060 to 101026 overages.xlsx"
6. Forward the Excel worksheet with justification details to Lead Budget Analyst BA).
7. Lead BA will review and forward the request to Finance with a request to transfer and brief explanation, copying
 - a. jebud,
 - b. Cgdawards
 - c. PI and
 - d. AAIII.
8. Review month end or IFAS report to make sure the transfer is done. If not, contact Lead BA

Comptroller guidance for best JE justifications

Focus justification on why the expenditure belongs in the new key/agreement

Eliminate or minimize explaining why the expenditure does not belong in the old key/agreement

Emphasize language such as work was performed or cost incurred

Preparer will save the transfers here: Z/postawards/transfers/(non-payroll JEs-Payroll JEs-Fund Transfers (whichever is applicable).

Transfers from open or partially paid Purchase Orders in UProcure:

If the PO is an open order or partially paid then whatever key the expense is moving TO needs to be encumbered on the PO. Contracts can do this. A JE cannot be completed until this is done. A

JE will be needed, once this is done, to actually move the expense.

1. Go to Cognos Public Folders > UCAR Reports > Administrative Reports > Utility Reports> (works best in Google Chrome browser)
2. Shortcut to 001 - Non-Payroll Journal Entry Upload_Excel
3. Select the transaction query.
4. Open UProcure twice (separate windows or tabs): In one, search and open the Purchase order to use as reference. In the other follow the procedure below.
5. UProcure: Procurement Forms: Change Order Request:
6. Enter Supplier, PO Number, on Reason for Change enter amount to be transferred on "Revised PO Total. Check "Account key change". Also complete "Provide details of the requested change(s) in the box below:"
7. Go to the top right of the page and select "Add and go to Cart".
8. In the Shopping cart: Rename the cart to something relevant such as POxxxx- Transfer
9. Using the original PO for reference complete all the fields as if you were completing a new order: business, commodity code, enter the account key where you want the expense transferred and "Place Order" or "Assign".

K

Kuali

<https://ucar.kuali.co/dashboard/search>

Proposal COI and Kuali

The COI record for the PI to complete is triggered when Feasibility Review is approved & Panda Proposal state is not Proposal Initiation.)

One way to find an award in Kuali

Look up the account key in IFAS....



CTRL + F will clear this screen so you can enter a number as shown below:

Look at the “supplemental parts” tab in the record for that key

Note that the Kuali Award ID field isn't long enough in IFAS, so the full Kuali id is printed next to the field... here, the correct Kuali Award ID is 001675-00001:

Favorites
 Links
 Workflow
 Attachments
 Tools
 Reports
 Entity List

Ledger/PROG: GL 107742
 Status: A Accept Transactions: Y
 Director: LONG, M
☐ Control Key? ☐ Derived?

Long/Short Desc: Ocean Biochemistry: vol NSF Long LDEO
 Start/End Date:
 Planned Start/End Date:
 Old Key:
 Copy Key:
☐ Require Associations?
☐ Budget Inception To Date?

Primary Parts Supplemental Parts Contacts Text

Parts 1 to 16 Parts 17 to 32

Proposal / MOU:	2019063	20190653	Payment Basis:	100	Cost Reimbursable
Rate Type:	NCARON	NCAR On-site Rate	Reduce IC Rate:	N	No
Sponsor Award ID:	1948728	1948728	Reduce Ben Rate:	N	No
Kuali Award ID:	0167506	001675-00001	No MGMT Fee:	Y	Yes
CFDA Number:	47.050	Geosciences	Fee Bill Rest:	N	No
Award Type:	170	Grant-Government	CY Fund Appr:	N	No
Sponsor ID:	000947	NSF-GEO-OCE/Ocean	Kuali Award Key:	Y	Yes
Prime Sponsor ID:			Fin Org:	22205	Oceanography Section

Select Codes Misc Codes Valid Object Types

FixedFee	RschType	CONTSTAT	SUBPROG	Subfacil	Billable	OpMUDv	Fed Awrd
INDF	COLLWFD	ZZ	CGD	ZZ	LOC	ZZ	GOVT

Now, to KUALI (<https://ucar.kuali.co/dashboard/search>)

Go to the "unit" tab

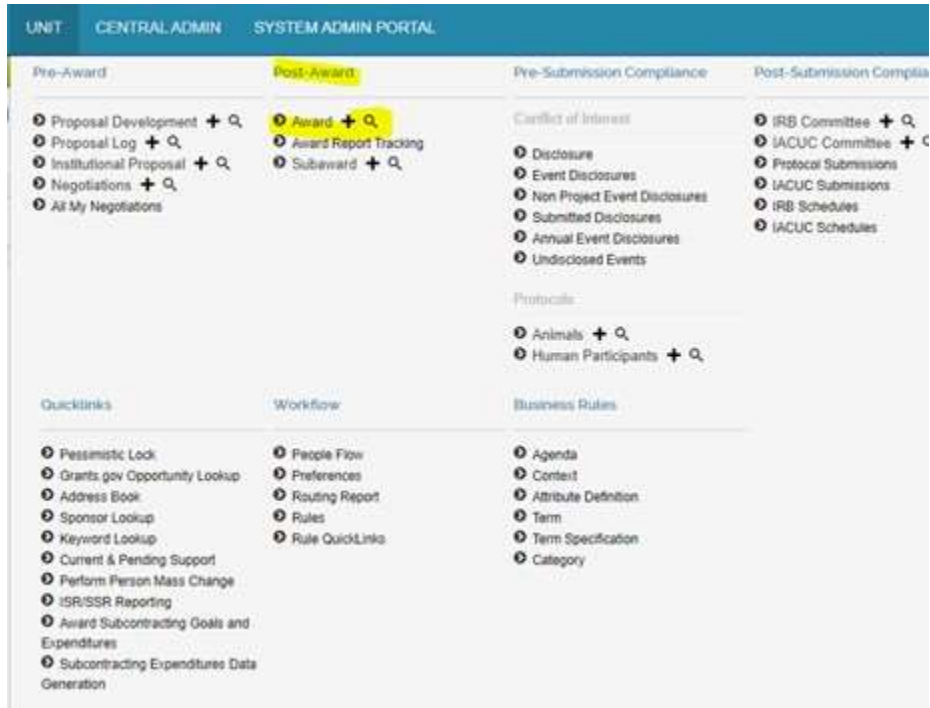
Kuali
 RESEARCHER UNIT CENTRAL ADMIN SYSTEM ADMIN PORTAL

Welcome, Christina

Search Tasks

What would you like to do?

Then go to Post-Award/Award +



Now use the Kualii ID found in IFAS in the “Award ID...” field, and “enter.”



Lead Unit ID:

Lead Unit Name:

Investigator:

Award Title:

Sponsor ID:

Account Key:

Sponsor Award ID:

Contract ID:

Award ID or Click icon for Proposal Number Search:

Award Status:

Award Type:

Payment Basis:

File Location:

Document Status: ☐ Final
☐ Saved
☐ Both
☐ Canceled

Scroll down, because the page will seem to be the same, but with something extra near the bottom:



One item retrieved.

Actions	Lead Unit Name	Investigator	Award Title	Sponsor ID	Sponsor Name	Account Key	Sponsor Award ID	Contract ID	Award ID	Proj Date
open copy media view invoices	NSCAR-CGD-OS	Matthew Long	Collaborative Research: Forced drivers of trends in ocean biogeochemis...	000943	NSF-GEO-OCE/Ocean Sciences	107742	1948728	1948728	001675-00001	03/01

Click on any link in the “Actions” list.

Documentation is saved in the “Comments, Notes & Attachments” tab.....(and includes invoices to the sponsor) Look around. Lots of info here...

L

Legal Sheet

On Google Drive [Google Drive/Shared Admin Drive/Budgets/CGD_LegalSheet](#)

Letters of Support vs Letters of Collaboration

NSF rules on letters of collaboration (versus "support") have changed, apparently. The key thing from the proposal preparation point of view is the following paragraph:

Any substantial collaboration with individuals not included in the budget should be described in the Facilities, Equipment and Other Resources section of the proposal (see [GPG Chapter II.C.2.i](#)) and documented in a letter of collaboration from each collaborator. Such letters should be provided in the supplementary documentation section of the FastLane Proposal Preparation Module and follow the format instructions specified in [GPG Chapter II.C.2.i](#). Collaborative activities that are identified in the budget should follow the instructions in [GPG Chapter II.D](#).

Letter of Intent (LOI) Submission Process

Steps required for LOI submission:

Start the Proposal, completing at much info as you know.

Not necessary to do PACUR or budget at this point.

Upload a brief description of the proposed work - maybe a draft of the LOI to be submitted, in field 11.4.

You may start the feasibility review, but no other review should occur until it's ready for full prop review.

When the prelim info is available in Panda, with project description, please email ncarprop, ask for review of Panda LOI number 2014-xxxx.

B&P will review and communicate the results of that review via email.

M

Memorandums of Agreement (MOA)

Memorandums of Understanding (MOU)

MOU and MOA Procedures:

<https://internal-ncar.ucar.edu/budget-and-planning/mou-guidelines>

MOU No cost extension

When there is intent to renew an existing MOU through extension of the period of performance, the lab should complete an Award Change Request Form and forward to UCAR Contracts with a copy to both NCAR Budget & Planning and the NCAR Deputy Director/NCAR COO (mouprop). UCAR Contracts will work with the lab to extend the MOU. The copy to NCAR Budget & Planning and the NCAR Deputy Director/NCAR COO is only for notification purposes.

When there is intent to modify an existing MOU that impacts the activities described within the MOU, the lab should follow the procedure for a new MOU.

N

National Science Foundation (NSF)

NSF 2 month rule:

Confirmed 1/20/21, NSF PAPPG "2 months" salary limit applies to NCAR grants, not NCAR base. Panda calculates 347 hours = 2 months = 19.6% (at 85% work effort).

NSF Proposals

As of May, 2020, CGD must increase oversight of any NSF proposals to ensure we comply with NCAR rules. Too often we receive bits of information, and are unable to see the whole picture until late in the process.

To address this, we will follow guidance from our website, and when someone indicates an interest in proposing, step 1 will be to get as much of the following information as possible, with the main emphasis on knowing what specific announcement or invitation CGD is targeting. This process will be followed for all initial proposal contacts, but is particularly critical whenever the sponsor might be NSF.

Original Announcement URL or invitation

* If a university is asking you to participate, identify which sponsor they will be submitting to.

Expectation of funding or no funding.

Lead Organization, lead PI information (name, email).

NCAR Role if known (joint/collaborative submission, or subaward from lead organization).

Brief abstract describing your contribution to this effort.

Period of performance.

NSF Proposal Titles

For NSF projects, no matter what other prefixes are required, Collaborative Research should ALWAYS appear first (if proposal is a collaborative proposal being submitted by 2 or more institutions).

NSF Budget Justifications

If there is no request for Senior Personnel salary, just begin budget narrative with "Other Personnel" salary request.

NSF Inter-Agency fee / NSF Administrative Cost Recovery Fee

The NSF Administrative Fee is applied to this proposal budgets when non-NSF federal funding is proposed to be awarded through the NSF cooperative agreement as an interagency agreement fund transfer . The NSF Administrative Cost recovery is applied at 6.53% of the total interagency transfer amount.

NSF Funding Opportunity types

Program Descriptions, Program Announcements, Program Solicitations, Dear Colleague Letters

NSF Eligibility Matrix

(At this link, and copied below

<https://internal-ncar.ucar.edu/budget-and-planning/proposals/nsf-proposal-guidance>) to determine what is required and/or allowed for each solicitation type.

Eligibility, Salary, and Impact Statement Guidance by NSF Solicitation Type Matrix

NCAR Guidelines for NSF Proposals							
Updated 12/4/2018							
	All NSF Directorates						
	NSF Program & Solicitation Type				Additional Scenarios		
	non-AGS	AGS	AGS	AGS	AGS	AGS	AGS
	<ul style="list-style-type: none"> Program Solicitation Dear Colleague Letter Program Description Program Announcement Special Request from non-AGS Program Officer 	Program Solicitation	<ul style="list-style-type: none"> Dear Colleague Letter Program Description Program Announcement 	Special Request from AGS Program Officer	NCAR Unfunded Collaboration	University led proposal with Subaward to NCAR	UCP led proposal with NCAR funded participation
NCAR Eligibility by NSF Program & NSF Solicitation Type							
NCAR Eligibility	NCAR B&P will evaluate eligibility guidance in solicitation, announcement, etc. *FINDCs (NCAR) eligible in unique situations.	NCAR B&P will evaluate eligibility guidance in solicitation, announcement, etc. *FINDCs (NCAR) eligible in unique situations.	Not Eligible - except in unique circumstances for community service efforts such as workshops, field campaigns, etc.	Not Eligible - except in unique circumstances for community service efforts such as workshops, field campaigns, etc.	NCAR may participate in any NSF proposal as an unfunded collaborator	NCAR B&P will evaluate eligibility guidance in solicitation, announcement, etc. *FINDCs (NCAR) eligible in unique situations.	NCAR B&P will evaluate eligibility guidance in solicitation, announcement, etc. *FINDCs (NCAR) eligible in unique situations.
Co-sponsorship of Effort	Show co-sponsored commitment & HPC on internal budgets only	Show co-sponsored commitment & HPC on internal budgets only	If eligible, show co-sponsored commitment & HPC on internal budgets only	If eligible, show co-sponsored commitment & HPC on internal budgets only	N/A	Show co-sponsored commitment & HPC on internal budgets only	Show co-sponsored commitment & HPC on internal budgets only
All NCAR Staff Titles	Yes	Yes	With permission from appropriate NSF Program Officer	With permission from appropriate NSF Program Officer	N/A	Follow guidance by NSF program & solicitation type	N/A
UCP Staff as Co-PI on NCAR led Proposal	Yes	Yes	With permission from appropriate NSF Program Officer	With permission from appropriate NSF Program Officer	N/A	Follow guidance by NSF program & solicitation type	N/A
Consult with NCAR B&P for further clarification	Yes	Yes	With permission from appropriate NSF Program Officer	With permission from appropriate NSF Program Officer	N/A	Follow guidance by NSF program & solicitation type	N/A
Documents Required by NSF Program & Solicitation Type							
NSF Impact Statement: 2 page Doc. describing how activity extends beyond work discussed in current POP	Not Required	Required ¹	Not Required	Not Required	Not Required	Follow guidance by NSF program & solicitation type	Follow guidance by NSF program & solicitation type
Current and Pending C&P for each Senior Personnel (see note #4, below)	Required	Required	As requested by announcement	Not Required	Required if NCAR participating as Sr. Personnel	Follow guidance by solicitation type	Follow guidance by solicitation type
Panda Proposal including Review Criteria	Required	Required	Required	Required	Required	Required	Required
Budget including NSF Co-sponsorship for Internal Purposes Only	Required	Required	Required	Required	N/A	Required	Required
NOTES: 1. Per the NSF PAPP, Sr. Personnel are defined as the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. NSF also defines Sr. Personnel as an individual other than the Principal Investigator(s) considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported. NCAR staff with title of Scientist I, II or III, Sr. Scientist, and Research Engineer are considered Sr. Personnel per NSF guidance. 2. Per the NSF PAPP, salary compensation for senior project personnel is limited to no more than two months of their regular salary in any one year. This limit includes salary compensation received from all NSF-funded grants. NCAR staff identified as NSF Sr. Personnel may request a maximum of 2 months per year of salary support (approximately 16% FTE). This limit includes salary compensation received from all NSF-funded grants (excludes NSF base funding). 3. When funding is requested in response to a NSF AGS Program Solicitation, NCAR will provide a 1- to 2-page description (NSF Impact Statement) of how the proposed research extends, complements, or enhances NCAR base funded research as described in the annual Program Operating Plan. This must be submitted to the NCAR Budget and Planning office 2 weeks prior to the sponsor deadline, along with the Panda proposal, budget, and C&P. 4. Per the NSF PAPP, the Current and Pending should reference internal funds allocated toward a specific project. This includes any funding from NSF base. The C&P should reference NCAR Research Focus Area as the Title and reference the dollar amount associated with that individual's fully loaded salary for one year. The following footer must also be included: 1) In the event that a pending project is awarded and an overlap in effort occurs, the effort on the NCAR internal funds will be adjusted accordingly. The award amount indicates the internal base funding for the research focus area for the current fiscal year.							
updated 12/4/2018							

NSF Impact Statement Instructions

For each proposal submitted in response to an NSF solicitation, NCAR will provide to the cognizant AGS Program Officer with oversight of NCAR a no more than two page description of how the proposed research extends, complements, or enhances NCAR base funded research as described in the annual Program Operating Plan.

If the personnel requesting funding will be listed as Sr. Personnel in NSF FastLane, please provide Budget and Planning with the current C&P for that individual.

If the proposed effort is a new or emerging activity that is not described in the POP, the document should explicitly state that and provide a detailed explanation as to how the proposed effort is supportive of NCAR's mission and extends beyond the work proposed within the POP.

Please provide the following info: (This is from the Impact Statement template, which can be found at <https://ncar.ucar.edu/budget-and-planning/proposals/nsf-proposal-guidance>

NSF Impact Statement Template NSF FastLane #:

NCAR Proposal#:

Proposal Title:

Lead Institution:

NSF Solicitation # and Title:

NCAR PI:

Sr. Personnel:

Describe the proposal impact focusing on the following key items:

Provide a brief description of proposed effort (1 paragraph)

Cite the section of the current FY Program Operating Plan (POP) page #, section #, and relevant text that the proposed effort most closely relates to.

Describe in detail how the proposed activity differs (new effort, extends beyond, or enhances existing activity) from research described within the POP (1 to 2 paragraphs). Focus on the how, what, and most importantly why this proposed activity is different. This should be explained fully rather than simply stating that the activity does not duplicate or does enhance.

If the proposed effort is a new or emerging activity that is not described in the POP, the document should explicitly state that and provide a detailed explanation as to how the proposed effort is supportive of NCAR's mission and extends beyond the work proposed within the POP.

If the section of the POP that is most closely related to the proposed effort states that NCAR will be developing proposals in support of the research topic, provide a detailed explanation as to how the proposed effort supports the statement in the POP to seek additional funding in support of new efforts.

No Cost Extensions

Complete Award Change Request Form, available here (not needed for NSF. see instructions below): <https://operations.ucar.edu/forms/contracts/award-change-request-form>

And also in
Z:/CGD postAwards/Award Change Requests/NCE

In this folder, you can also view prior requests for models.

The justification must include (1.) an estimate of the remaining funds; (2.) description of activities that will be undertaken in the extension year (ideally specifying there is no change in scope); (3.) explanation of why progress has been slower than originally planned.

Guidelines for no cost extension requests from UCAR- [CHART](#)

<div> <div>NCAR UCAR</div> <div>UCAR/Finance and Administration</div> </div>				
Guidelines for No Cost Extension (NCE) Requests When requesting an extension, please include what has contributed to the delay and which activities will be undertaken if the extension is granted.				
NSF Financial Assistance	NASA Financial Assistance	DOE Financial Assistance	NOAA Financial Assistance	Other Sponsors
<ul style="list-style-type: none"> Lab/Program submits request on Research.gov No need to sent Award Change Request form 	<ul style="list-style-type: none"> Lab/Program submits Award Change Request form to fedaward@ucar.edu Request will be submitted on NASA's website by Contracts 	<ul style="list-style-type: none"> Lab/Program submits an Award Change Request form to fedaward@ucar.edu. Request will be submitted on PAMS website by Contracts 	<ul style="list-style-type: none"> Lab/Program submits an Award Change Request form to fedaward@ucar.edu Request will be submitted on Grants Online website by Contracts 	<ul style="list-style-type: none"> Lab/Program will submit an Award Change Request form to fedaward@ucar.edu
<ul style="list-style-type: none"> 1st extension-Submit 15 days prior to end of POP Subsequent extensions – Submit 50 days prior to end of POP May not be used solely to spend unliquidated funds Planned activities must be part of the originally proposed effort 	<ul style="list-style-type: none"> Attach a copy of the most recent progress report. This is needed for submission to NASA. May not be used solely to spend unliquidated funds Planned activities must be part of the originally proposed effort 	<ul style="list-style-type: none"> Request must include amount of funding still unspent May not be used solely to spend unliquidated funds Planned activities must be part of the originally proposed effort. 	<ul style="list-style-type: none"> May not be used solely to spend unliquidated funds Planned activities must be part of the originally proposed effort 	<ul style="list-style-type: none"> May not be used solely to spend unliquidated funds Planned activities must be part of the originally proposed effort
<ul style="list-style-type: none"> Request must include amount of funding still unspent 		<ul style="list-style-type: none"> Request must include amount of funding still unspent 		

Changes to the scope of work and/or the project methods and procedures will likely require further discussions with the Project Manager, and should not be submitted just on this form.

To estimate the funds that will be available when the original grant end date arrives, use the IFAS report "Account Key by Expense Class" (Use DWPRE/Use KEY). Amount in Funds Available column will roughly approximate the amount that will remain when current end date is met.

NCE request justification guidance

NCE may not be used solely to spend unliquidated funds, and planned activities must be part of the originally proposed effort.

- Additional time to assure completion of the project scope and objectives (explain specific tasks and reason for delay)
- Lack of success in locating staff or postdoc with suitable capabilities
- Meeting or conference associated with the project occurring after the project end date
- Due to the absence of key personnel on the project (any absence over 3 months must be reported to the sponsor)

Note: An extension cannot be requested for the purpose of using remaining funds or due to the other project(s) you are working on.

If there are changes to the scope of work and/or the project methods and procedures, they must be explained and reported to the sponsor.

When the form is complete, email to [redacted]@ucar.edu, and cc [redacted]@ucar.edu... optionally, cc the PI if you think s/he is interested...

Update legal sheet end date field with green shading to show NCE has been requested.

Assuming the NCE is granted/approved:

Download official notice/approval. Save in account key folder, and change title to start "NCE granted to (date) "

so it's easy to see in the file.

Update legal sheet end date to correct, new date. Remove green shading. Enter "NCE" in the "year x of y field." Also update reporting schedule cells.

Update performance dates in C&P generation database so the dates are correct on the C&Ps.

DOE (Department of Energy) NCEs

Fill out an Award Change Request Form and send current remaining budget amount to [redacted]@ucar.edu. That form is available on the Contracts website. PAMS submission must be made by Contracts.

Department of Energy / PAMS (Portfolio and Analysis and Management System)

Principal Investigators (PIs) and Administrators can register for the system here:

<https://pamspublic.science.energy.gov/webpamsepsexternal/login.aspx>

Once registered, indicate "UCAR" as institutional affiliation, which is already registered in the PAMS system.

Upon pre-application creation, PIs can add the division/lab/program Administrator to the pre-application record in PAMS through the “manage peer access” button. The Budget Analyst assigned the proposal can also be added (optional). This will allow the Administrator and Budget office access to view the pre-application in PAMS.

NASA NCEs

Lab/program submits Award Change Request form to [\[redacted\]@ucar.edu](mailto: [redacted]@ucar.edu) Request will be submitted on NASA’s website by Contracts
Attach a copy of the most recent progress report

NOAA NCEs

Requires NOAA Grants Online access

Send an email to Contracts (fedaward) requesting access to NOAA Grants online for all CGD awards. Include a list of current NOAA grants. Someone in Contracts will open the account and send you the login and temporary password. Once you are in you will be asked to change your password and set your security questions

<https://grantsonline.rdc.noaa.gov/flows/home/Login/LoginController.jspf>

As of Jan. 2020, NOAA GrantsOnline requires PI submit reports (if BA submits, requires PI’s login) -“search awards,” enter award #. Click on “Award number” link that appears. In “action” drop down, choose “request extension to closeout,” and submit. On next page, scroll down to “Extension to Closeout - AWARD #”, enter extension request (limited to no more than 60 days, despite option for 90 days!), enter “Justification,” [sample text: The University of Utah is the lead, and NCAR’s role is a small part of the entire project./ NCAR will submit the report reflecting the entire project, provided by the lead PI. / The report from the lead PI is not available at this time, and it is outside of NCAR and the NCAR PI’s control.] “Save” then “save and start workflow,” then from “action” drop down choose “forward award action request to authorized representative” and submit.

Go to <https://grantsonline.rdc.noaa.gov/> Login (you can use your admin account) Awards Search Award: type award number and search. Click on the award number Action: Select “Create Award Action Request” and submit

Look for “No cost extension-prior approval waived” (if that is the case) and select.

Enter the justification provided by the PI and remaining funds and SAVE AND START WORKFLOW

No Cost Extension - Prior Approval Waived (Research Terms and Conditions) - NA18OAR4310399

Note: The Attachments link does not appear until the document is successfully saved.
No Cost Extension - Prior Approval Waived (Research Terms and Conditions)
[Guidance](#)

URI:

Extension Date: Month Year Day

Justification

[Spell Check](#)

[Save](#) [Cancel](#)

Action: Select “Forward Award Action Request to Authorized Representative” and SUBMIT
 You will receive a confirmation email from Grants online. Save it in the NCE folder for the account.

NSF NCEs

Because this is submitted online by BA in Research.gov, an Award Change Request form is not required (Once submitted to AOR, Contracts will be notified by Research.gov).

See below for detailed process:

Research.gov submission by BA: Research.gov as PI, under Awards & Reporting, choose Notifications/requests, and click on “Prepare New”

Select (step1) type of Change, and (step 2) make sure change type is selected and click “Go,” (step 3) enter award #, and click on “prepare new.”

You must submit the NSF-Approved No-Cost Extension Request to NSF at least 45 days before the grant’s expiration date. The request must contain: • The revised expiration date • The funds remaining for the grant • The justification for the extension • A plan for using the unobligated funds

NSF Special and NSF Deployment Proposal Submissions

Complete form [here](#); submit to B&P

NSF FastLane

To register in Fastlane, please follow the link below:

Fastlane URL: <https://www.fastlane.nsf.gov/OR>
<https://www.research.gov/accountmgmt/#/registration>

You will need to go into your account and affiliate under UCAR (not NCAR) If asked for this information please enter:

Inst. Code 406 [REDACTED]

DUNS # 07 [REDACTED]

NSF Awardee Organization #: 406 [REDACTED] NSF Performing Organization #: 40 [REDACTED]

Under Add a new role, check "PI role ". If that option doesn't show, check "View Only" and let a BA know so that they pass that information to B and P. When they access their profile, they will correct this.

Budget and planning will receive a notification and they will confirm your affiliation FastLane help desk: 1-800-673-6188

NSF Fastlane & Revised Budgets

Go to fastlane, login as PI.

Principal Investigator(PI)/Co-Principal Investigator(Co-PI) Management

What Do You Want To Work On?

- [Proposal Functions](#)
- [Award And Reporting Functions](#)
- [Change PI Information](#)
- [Research.gov Functions](#)

Last Modified:
Nov 2001 (ICM)

Choose Proposal Functions.

Principal Investigator(PI)/Co-Principal Investigator(Co-PI) Management

Proposal Functions

- [Letters of Intent](#)
- [Proposal Preparation](#)
- [Proposal Status](#)
- [Revise Submitted Proposal Budget](#)
- [Proposal File Update](#)
- [Research.gov Functions](#)

[Go Back](#)



Choose Revise Submitted Proposal Budget.

Determine which project is being changed, select it, and click “view” (To determine which is the one to change, one can find prop titles on Prop Summary)

Choose Edit the Budget

Principal Investigator's Name: **Clara Deser**

(Click on the column title to sort by that column.)

<u>Proposal ID</u>	<u>Received Date</u>	<u>Status</u>	<u>Proposal Title</u>
Select a Proposal to Work with:			
0629299	Mar 23 2006	- - Collaborative Research: Multidecadal Variability	 
0629300	Mar 23 2006	- - Climate Response to Future Changes in Arctic Snow	
0713986	Dec 8 2006	- - Collaborative Research: Multidecadal Variability in	
0838871	Jun 5 2008	- - Applying Ice Cores, Instrumental Climate Records a	

If change is <10%, budget impact statement is not required; use this link instead to attach the revised budget justification.

NASA Notice of Intent (NOI) process

(internal: see NOI summary guidance from NSPIRES, below)

NCAR is the Lead (Due by date of NOI due date)

Input a proposal record in Panda.

NCAR Criteria part of Panda (formerly “PACUR”) is not required at the NOI submission phase.

Enter information in proposal sections 1.1 through 10.6. Proposal attachments may be uploaded, but are not required. Feasibility approval is not required at this stage.

When preliminary information in PandA is ready for review, proposal administrator will e-mail ncarprop, with proposal # in subject line, stating "This NOI is ready for review in PandA." B&P will review and respond via e-mail with submission approval the day the email is received.

B&P will also enter a reviewer note in PANDA of NOI approval.

The final NOI should be uploaded by the PI or Administrator in section 11.15 of Proposal Attachments field, Additional Documents.

NCAR is a Subrecipient (Due by date of NOI due date)

Input a proposal record in PandA.

NCAR Criteria part of PandA (formerly "PACUR") is not required at the NOI submission phase.

Enter information in proposal sections 1.1 through 10.6. Proposal attachments may be uploaded, but are not required. Feasibility approval is not required at this stage.

When preliminary information in PandA is ready for review, proposal administrator will e-mail ncarprop, with proposal # in subject line, stating "This NOI is ready for review in PandA." B&P will review and respond via e-mail with submission approval the day the email is received.

B&P will also enter a reviewer note in PANDA of NOI approval.

If possible the PI or Administrator should upload the final NOI submitted by the lead organization in section 11.15 of Proposal Attachments field, Additional Documents.

NOI summary guidance from NSPIRES

Note: NASA intends to publish the proposal's full title, the PI's name and organization, and the Proposal Summary of every selected investigation in a publicly accessible data base; therefore, the Proposal Summary should not include proprietary information that would preclude its unrestricted release.

Please read the solicitation carefully. If the solicitation provides instructions about the content or length of this section, please provide what the solicitation requests. If no specific guidance is provided, please enter a brief description of the proposal that provides the information listed below:

A description of the key, central objectives of the proposal in terms understandable to a nonspecialist;

A concise statement of the methods/techniques proposed to accomplish the stated research objectives; and

A statement of the perceived significance of the proposed work to the objectives of the solicitation and to NASA interests and programs in general.

The proposal summary is limited to 4000 characters (including hidden ones when pasting in from a word processing program). Please avoid special characters or formatting. If you exceed the limit you will know because you will get a 'Validation Error' message.

NASA Step 1 process

(Step 1 submissions must be submitted by SRO and often include details that are binding (for example, participants) so requirements are more involved.

NCAR is the Lead (3 business day lead time)

Input a proposal record in Panda.

NCAR Criteria part of Panda (formerly “PACUR”) is not required at the Step 1 submission phase.

Enter information in proposal sections 1.1 through 10.6. Proposal attachments may be uploaded, but are not required.

If participants are binding (see funding opportunity announcement) and any are international, ECC scan is required prior to submission of Step 1 in NSPIRES.

You may submit Panda for feasibility review, but you may also wait and do that prior to full proposal submission.

Create a proposal in NSPIRES, (Refer to solicitation – some prohibit any changes between Step 1 and Step 2), and follow solicitation guidance to create Step 1 in NSPIRES.

3 business days in advance of the Step 1 due date, the proposal administrator will e-mail ncarprop, with proposal # in subject line, stating “This step 1 is ready for review in NSPIRES.” At this time the draft Panda questions in sections 1.1 through 10.6 should also be complete.

B&P will review the Panda record with the NSPIRES Step 1 proposal, respond via e-mail, and, if ready, e-mail Contracts to submit.

B&P will also enter a reviewer note in PANDA of Step 1 approval.

Contracts will upload a copy of the submitted Step 1 proposal in section 11.15 of Proposal Attachments field, Additional Documents

Contracts will email notification that Step 1 is submitted to ncarprop, lab administration, and PI.

The NASA China form is not required for the Step 1 submission, but is required prior to Step 2 submission.

NCAR is a Subrecipient (Due by date of Step 1 due date)

Input a proposal record in Panda.

NCAR Criteria part of Panda (formerly "PACUR") is not required at the Step 1 submission phase.

Enter information in proposal sections 1.1 through 10.6. Proposal attachments may be uploaded, but are not required.

When preliminary information in Panda is ready for review, the proposal administrator will e-mail ncarprop, with proposal # in subject line, stating "This step 1 is ready for review in Panda." B&P will review and respond via e-mail with submission approval the day the email is received.

B&P will also enter a reviewer note in PANDA of Step 1 approval.

If possible upload the final Step 1 proposal submitted by the lead organization in section 11.15 of Proposal Attachments field, Additional Documents.

NASA NSPIRES

To Open an NSPIRES account

Go here: <https://nspires.nasaprs.com/external/aboutRegistration.do>

Visit above URL, and find link to "Registration Information" (on right side of web page, in blue box just beneath login fields), then click on "Begin Registration" button, complete and submit. Once that web form is complete, the associated sponsored research office (Budget and Planning for NCAR staff) officially affiliates with the newly-registered individual. (Note: B&P does get a notification from NSPIRES, but if 24 hours has passed, send them an email to direct them to accept the new affiliation).

NASA Proposal Structure (almost always lead with subawards)

Responsibility of the Proposing Organization to Place Subawards for Co-Is at Other Organizations. (ie, no "joint" submissions, lead and subs)

Other than the special cases discussed above, and unless specifically noted otherwise in the FA, the proposing PI organization must subaward, through contract or other approved funding

mechanism, the funding of all partners. Except for Co-Is affiliated with other non-Government organizations, even though this may result in a higher proposal cost because of subcontracting fees.

NASA China Form

All subrecipients shall submit this Subrecipient Assurance form when submitting a proposal to UCAR.

This form shall be signed by an authorized official on behalf of all Co-PIs of the institution involved in the proposalLink:

https://www2.fin.ucar.edu/sites/default/files/u450/nasa_chinaassuranceforsubcontractor.pdf

If NCAR is a Subawardee and the lead institution does not require a NASA sub assurance form Email from Valerie Koch to Christina Book, May 16, 2016: Amy and I had a chance to touch base on the NASA China Certifications and I apologize that I was misinterpreting the guidance. Amy confirmed that if NCAR is a subawardee on another organization's proposal to NASA and the lead institution does not require a NASA sub assurance form or any other certification that requires us to certify compliance with all sponsor terms, then we can wait to get the NASACHina Cert until point of award.

NSPIRES FAQ

<http://nspires.nasaprs.com/external/faq.do>

NASA Civil Servant and/or NASA Subcontractor salaries

instructions and samples:

<http://science.nasa.gov/researchers/sara/how-to-guide/nspires-CSlabor/>

NASA Service and Advice for Research and Analysis (SARA)

<http://science.nasa.gov/researchers/sara/>

NASA Award Status

You may check the status of NASA grants at the following website:

<https://www.nssc.nasa.gov/grantstatus>

O

Object Code quick overview:

50xx = salaries 51xx = benefits

52xx = materials & supplies (<\$5K)

53xx = purchased svcs (software, teleconferencing, etc.) 54xx = travel
55xx =equipment (>\$5K) 57xx = overhead

Overspend Reports

Requested from B&P quarterly-ish.

Regarding year end report, if we received funding for a new award, and received all 3 years up front, the "anticipated funding for FY16" (the pending prop tab) should show the 3-yr award amount, rather than just the 1st year amount.

P

Panda

Panda URL -- works best in Internet Explorer

<https://fabear.fanda.ucar.edu/Prod/>

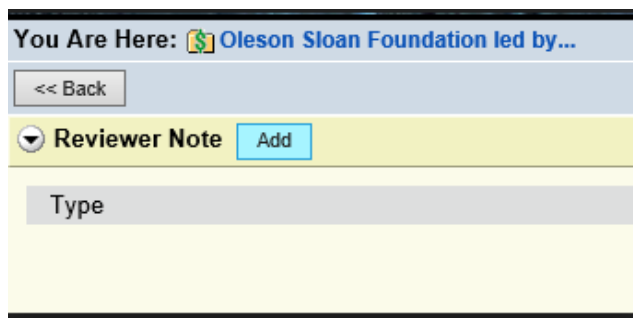
Searching for proposals?

Use "%" at the start of any search (e.g., lab: %CGD; PI: %Tribbia)

Entering notes:

You can enter notes in Panda to set reminders for yourself, or communicate with the lab or management review team.

On any proposal page, look for this:



The screenshot shows a web interface for the Oleson Sloan Foundation. At the top, it says "You Are Here: Oleson Sloan Foundation led by...". Below this is a navigation bar with a "<< Back" button. The main section is titled "Reviewer Note" and has an "Add" button. Below the title is a table with a header row labeled "Type" and a large empty text area for entering notes.

OR, access Proposal Comments from front Proposal tab

My Activities

- Record Intent To Award
- Record Notice of Decline
- Make A Copy
- Submission Package Update
- Designate Final Submission Package
- Generate1030Report
- Take PA Ownership
- Assign PA Owner
- Upload Budget Report
- Designate Final Budget Report

General Activities

- Log Proposal Comment**
- Withdraw Proposal
- Request to Add Organization

My Activities (NSF)

- Log NSF Proposal Comment

Sample note:

Add Reviewer Note

* Type: Lab or Division or Program General Comment ▼

* Note:

7/24/20: CGD PI is checking with lead PI to see if this is proceeding or not.
8/31/20 due date is only a placeholder.]

PandA: Entering “declined” awards.

In PandA, search for proposal # under the “Submitted” tab.

If necessary click on “Take PA Ownership,”

when the activity appears, select “Record Notice of Decline.”

If there are documents or an email associated w/ the decline, these may be attached in the Record Notice of Decline activity (but this is not required).

4

General Guidelines

<http://pandahelp.ucar.edu/>

PandaA - activities that seem available, but do not work:

Changes requested by sponsor Record Intent to Award

Panda instructions for BA reviewer to check before submitting NCAR Criteria

NCAR Criteria:

All acronyms must be spelled out at initial use, and the NCAR Criteria must describe the roles of the lead and NCAR (& other institutions, if applicable).

If Staff Time/Effort is cosponsored,

make sure field 2.2 is correct, and that the draft budget includes the co-sponsored staff time. If High Performance Computing (HPC) is cosponsored, make sure that is indicated in 2.1 and that the draft budget includes the co-sponsored HPC.

Unfunded proposals (no NCAR Criteria)

See detailed info [here](#)

Section Admins: When panda form entry is done, don't hit submit button. Notify BA1 of proposal number for review and submission.

BA will review support letters prior to these being sent to the lead requestor.

Participant Support Costs (PSC)

PSC is a federal budget category for costs incurred for non-UCAR staff to participate in meetings – only. No additional collaborations, etc. PSC does not incur overhead.

Nothing related to breaks is allowed as PSC, only meals which will be classified as per diem.

The meals provided to participants can qualify for PSC. They would be classified as a meal in lieu of per diem. A full list of participants should be provided with the bill or JE if applicable notating employees vs non. If these food costs are going through UCAR's Food Services, a JE will need to be done to reallocate the charges since the charge back process does not support the PSC allocation. (per Angie Yarbrough email, July 2018)

Transportation: As of January 26, 2020 transportation to and from the hotel could be considered PSC as long as it is for PSC participants. Transportation to and from the airport can be considered PSC.

Prespend / over spend requests

The authority limits on prespend/overspend requests have changed. The VP for Finance and Administration will authorize requests up to \$500K and all requests above \$500K will be signed

by the UCAR President.

Please review the Prespend/Overspend Guidelines at

<https://www.fin.ucar.edu/treasury/internal/prespending.html>

Since these changes have been made, all updated forms (Account key setup form, prespending/overspending Questionnaire) can be downloaded at

https://www.fin.ucar.edu/forms/treasury/treasury_title.shtml. All changes are effective immediately.

When a key that was in pre-spend status is awarded, email Judy Torrez with the contract info so it is updated in IFAS.

Proposal Subawardee is NCAR

When NCAR is participating on a proposal as a subawardee, the internal NCAR PI may be listed on the budget and in fastlane as "other personnel" (& request more than 2 months salary) as long as this is approved by the lead.

PI Change

If a PI needs to change (ie, original PI leaves NCAR, etc.), follow this guidance:

For NSF grants, remind new PI about 2 months salary restriction on NSF funding (new PI may not be eligible to charge any of her time to the grant she "inherited.")

Provide a justification with effective date, reasons for PI change, new PI qualifications/background to serve as a PI.

A copy of CV/Bio of a new PI.

Submit request in appropriate method based on sponsor.

SFI signed by new PI to Contracts

Update C&P for new PI

Update account information (Program Director and/or account name). Notify Judy Torrez via email.

Preparing a PI or co-PI Change Request for NSF Projects:

From the FastLane Homepage (<http://www.fastlane.nsf.gov>); select "Proposals, Awards, & Status" link (found on the left hand-side of the web page).

Enter your login information and press "Login" (Last Name, NSF ID, and Password).

The Principal Investigator (PI)/Co-Principal Investigator (Co-PI) Management screen appears; select "Award and Reporting Functions" option from the menu.

The next screen provides Awards & Reporting Function options. Select "Notifications and Requests" option.

Select the appropriate award number from the drop down list and click the "Prepare" New button.

The Notifications and Requests screen appears for the select award. This screen should at the top show your Award Information. Scroll down to the Types of Grantee Request (Need NSF Approval).

The "Change of PI" screen will appear.

Enter the NSF ID of PI in the box under the label "Proposed SSN#" and then click the Check button (Proposed PI must be FastLane registered. The system will fill in the name of the PI for that NSF ID).

Once the PI's name has been filled in the box, the Biographical Sketch and Current & Pending Support sections will become active. Upload the appropriate documents. Once the bios and support documents have been uploaded, the justification section will become active. Enter in the appropriate information.

Click "Save"

After clicking Save, the buttons at the bottom of the screen should become active allowing the following actions: Modify Request; Delete Request; Cancel and Forward to SPO.

Click "Forward to SPO" to submit to NSF.

Prepare your justification based on the requirements of the Grant Proposal Guide (GPG), below is the excerpt from the GPG:

In the event the grantee desires to continue the project with a substitute PI/PD, the Authorized Organizational Representative should advise the NSF Program Officer of the substitute PI/PD's name, qualifications, and current and pending support for research from all sources. The recommended substitute PI/PD shall countersign the notification letter to the NSF Program Officer from the Authorized Organizational Representative nominating the substitute PI/PD. If approved by NSF, the Grants Officer will amend the grant. If not approved, NSF may take steps, pursuant to GPM 910, "Suspension and Termination Procedures," to suspend or terminate the grant.

Complete the following fields:

§ Proposed PI NSF ID: Type the NSF ID of the "new" PI. Click on the "Check PI" button to verify the new PI NSF ID. If correct, the name appears.

§ Effective Date: Type the effective date in mm/dd/yyyy format.

§ Justification for Request: Type (or cut and paste) the reason for the Change of PI request.

§ Biographical Sketch File Location: Type in the name and location of the file on the screen. If you do not know the location of the file, click on the "Browse . . ." button. The "File Upload" window appears. Click on the file to be uploaded to select it and click on the "Open" button. The screen re-appears with the filename and path. Click on the "Upload File" button.

§ The "PDF Conversion/Compliance Check" screen appears. When the upload is completed, the "File Successfully Converted/Checked" screen appears. Click on the "Proofread PDF" button. A new window appears with the converted PDF document.

§ After reviewing this document for accuracy, close this window. The "Proofreading Complete" screen appears. If this PDF document is not correct, click on the "Cancel" button. If this PDF document is correct, click on the "Save" button.

To Forward Change of PI Request from PI to SRO:

Click on the "Forward to SRO" to submit the request. The "Change of PI Request Verification" screen appears.

Click "Forward to SPO" again to confirm the action.

A message appears "F O R W A R D E D"

Forwarded Add Co-PI/Change of PI/Co-PI to SPO

Award #: XXXXXXXX

<Date>

The Request for a Add Co-PI/Change of PI/Co-PI has been successfully Forwarded to SPO.

Click on the "Search Prepared by PI List" to return to the Notifications and Requests Screen.

Proposal Timeline

<http://ncar.ucar.edu/sites/default/files/users/amys/duedates.pdf>

PI Eligibility

All titles with "Scientist" can serve as the lead PI or NCAR PI.

Termed appointment, Postdocs (PDF and PDR) are not automatically eligible to serve as the lead PI or NCAR PI (but may apply and be granted this role).

For more info, go here: <https://ncar.ucar.edu/budget-and-planning/ucar-pi-eligibility-guideline>

Proposals

B&P website resources

<https://internal-ncar.ucar.edu/budget-and-planning/proposals>

Proposal Cover Letter Contact Information

Ms. Amy [REDACTED] Contracts Manager

University Corporation for Atmospheric Research

P.O. Box 3000

Boulder, CO 80307-3000

Telephone: (303) 497-[REDACTED] Email: [REDACTED] [ucar.edu](mailto:[REDACTED]@ucar.edu)

Proposal Training/Presentations

<http://ncar.ucar.edu/budget-and-planning/proposals/other-resources/trainings-presentations>

Proposals - Unfunded

In any transmittals or letters to sponsors, be sure to include this sentence: UCAR/NCAR commitments outlined in this letter are contingent upon availability of necessary resources, facilities and infrastructure.

Proposals: NSF Special / Direct request from NSF Program Manager

Provide form to PI to complete (Z/Proposal General Info/NSF/NSF Special Requests)

Once complete, Lead BA will submit to B&P

Proposals -- Declined

Upon Decline notice

Move electronic Z file from “submitted” to “withdrawn/declined.”

Update Proposal C&P Info (Z/Proposals/C&P Generation/Proposal C&P Info.xls), cutting row and moving it to “declined” tab

NOTE: if C&P was created through SciENCv, additional tasks will be required in that system.

Enter “notice of decline” in PandA (activity available on left hand/blue pane)

If a PI just indicates in email that a given proposal was declined, it’s not necessary to upload that email as confirmation of the decline, but one may opt to attach a .pdf of that email.

P-Card Approvals in Concur

When lead approver will be out for an extended period, s/he needs to update another as a delegate through the dashboard.

Comments may be near the top of the expense image (see 2nd & 3rd lines below “expense” tab):

The screenshot shows the 'Expense' tab in the Concur system. The form contains the following fields and information:

- Expense Type:** Purchased Services General
- Transaction Date:** 10/30/2018
- Business Justification (be detailed and specific):** Approved Zoom membership for Bill
- City of Purchase:** Boulder, Colorado
- Enter Vendor Name:** ZOOM.US
- Payment Type:** *UCAR-PCard-JPMC Visa
- Amount:** 149.90 USD
- Approved Amount:** 149.90
- Comment to Approver:** (Empty text box)
- Purchase Order#/Travel Request ID:** (Empty text box)
- Requisition#/Reference:** (Empty text box)
- Transaction Notes/Special Instructions:** (Empty text box)

At the top, there is a 'Previous Comment' section with the text: 'Entered By Teresa Foster: 12-month Zoom Conferencing service membership for Lipscomb project calls'.

R

Registration Fees

Does event have registration fees?

Proposal budgets should include the portion of registration fees that will be recorded as program income in the federal award

If registration fees (or a portion thereof) will fund food/beverage that might be considered 'social', this portion of the reg fee should not be included in the proposal. We will no longer transfer reg fees to discretionary for the unallowable costs. The reg fee will need to be posted directly to discretionary at the point of receipt.

Items for consideration:

Can you fully cover event with registration fees and/or sponsorships? Eliminates the need to request federal funds

Does event include both working hours and after hour activities? If yes, segregate the activities of the workshop

If yes, split registration fee between working hours and after hour activities Working hours activities (8am to 5pm) are usually allowable (i.e. business purpose) After hour activities could be a separate voluntary registration fee

Budgets and Budget Justifications should only reference the portion of registration fee that is applied towards allowable costs (i.e., working hours activities).

Reports

Project Progress and Final reports to sponsors

DOE:

Some DOE reports may be submitted in PAMS, but all others will be submitted here:
<http://www.osti.gov/mlink-2413>

NSF:

Generally submitted by PI in Research.gov

NASA:

Generally submitted by PI or Admin staff to lead or to NASA. "This required report shall be emailed to the NASA Grant Officer (NSSC-grant-report@mail.nasa.gov), the NASA Technical Officer Cc'd on this email, and the New Technology Office listed on the point of contacts sheet in your award documents." Also, CC cgdawards and fedaward

NIFA (USDA) Financial Reports

Recommended browsers: Mozilla Firebox or IE (SITE DOES NOT WORK IN CHROME) Use PI's login to login here: <https://portal.nifa.usda.gov/cas/login>
 Gather Information required for report from IFAS Budget to Actual as of 9/30/FY end date (to check on fiscal year spending)

This total number is entered in the NIFA rpt

Budget to Actual by Division, Account, Exp Class With Budget Versions											
As of 9/30/2020											
Account	Expense Class	Uncommitted Carryover	Committed Carryover	Prog Plans & New Funds	Fund Transfers	Working Budget	Month to Date	FY 2020 to Date	Encumbrance	Funds Available	Percent Used
100937	5000 Salaries			11,830.00		11,830.00	400.00	2,000.00		9,830.00	16.9%
100937	5100 Benefits			6,447.00		6,447.00	37.60	188.00		6,259.00	2.9%
100937	5300 Purchased Services			1,400.00		1,400.00	100.00	100.00		1,300.00	7.1%
100937	5349 Computing Service C			1,355.00		1,355.00	139.00	695.00		660.00	51.3%
100937	5479 Participant Support C			28,968.00		28,968.00				28,968.00	0.0%
100937	5700 G&A Overhead/Burd						304.28	1,295.00		(1,295.00)	0.0%
Total 100937 - USDA Wieder		0.00	0.00	50,000.00	0.00	50,000.00	980.88	4,278.00	0.00	45,722.00	8.6%
Total Division 10		0.00	0.00	50,000.00	0.00	50,000.00	980.88	4,278.00	0.00	45,722.00	8.6%
Report Totals		0.00	0.00	50,000.00	0.00	50,000.00	980.88	4,278.00	0.00	45,722.00	8.6%

NIFA reporting screen shots

NIFA Reporting Portal

Welcome, William Wieder

All systems are available.

All systems are available. If you experience any issues please contact us at electronic@usda.gov.

Search NIFA Projects

Search and view NIFA Capacity and Competitive Project information using the NIFA Enterprise Search tool.

Project Details

Financial Details

Advanced Search NEW!NEW!NEW!

Annual Reports on Planned Programs

Search these terms...

Search in these fields...

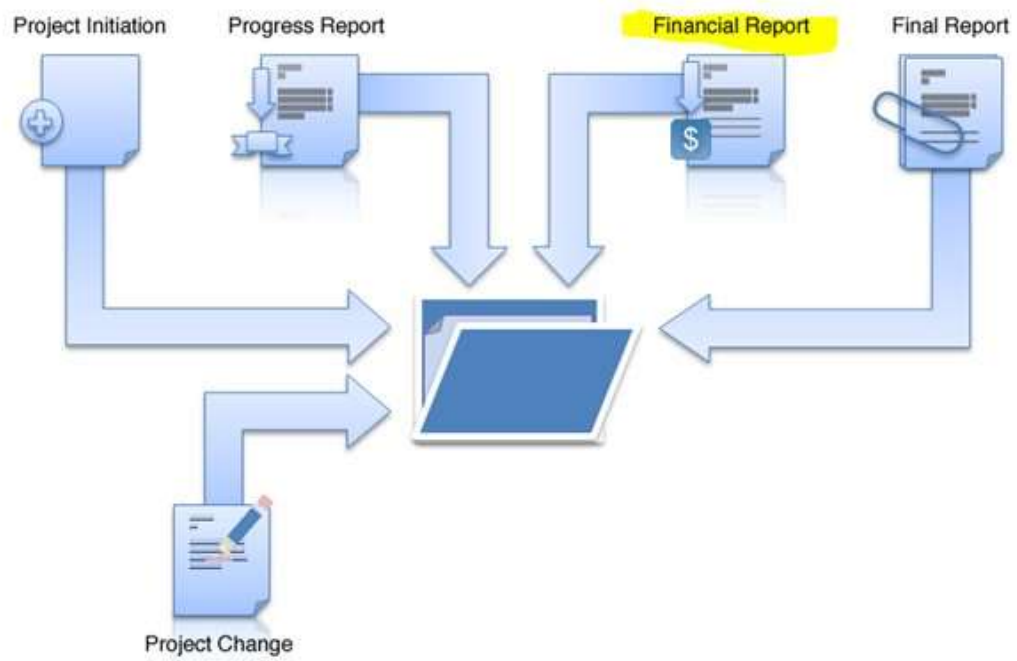
Show these fields in the results...

View results as: ☐ Document ☒ Tabular (** always hidden in tabular view*) (*** always shown in tabular view*)

Expected Results: 92,399 Projects Search

Active Applications

REEport (UNIVERSITY CORPORATION FOR ATMOSPHERIC RESEARC)



Track Project Financial Reports for Fiscal Year 2020

Accession Number <input style="width: 90%;" type="text"/>	Project Number <input style="width: 90%;" type="text"/>	Proposal Number <input style="width: 90%;" type="text"/>
Performing Department <input style="width: 90%;" type="text"/>	Funding Source <input style="width: 90%;" type="text"/>	Project Director <input style="width: 90%;" type="text"/>
<input type="button" value="Search"/> <input type="button" value="Clear Search"/>		

Expand All Folders Collapse All Folders

- 0 Project Financial Report(s) with Errors
- 0 Project Financial Report(s) with Alerts
- 1 Project Financial Report(s) Pending Submission to NIFA**
- 0 Project Financial Report(s) Submitted to NIFA

*Requires [Mozilla Firefox](#) or [Internet Explorer 11](#) [Guide for PDs](#) [Site Administration Manual](#)

Click on Title link

Expand All Folders Collapse All Folders

- 0 Project Financial Report(s) with Errors
- 0 Project Financial Report(s) with Alerts
- 1 Project Financial Report(s) Pending Submission to NIFA
- 0 Project Financial Report(s) Submitted to NIFA

Accession #	Project #	Proposal #	Title	Department	Proj. Dir.	Funding	Proj. Status	Start Date	End Date	Total Expnd	View	Alerts	Errors
1021243	(None)	2019-07379	Conference Grant Application	NCAR	Wieder, William	NOI FORMULA	ACTIVE	05/01/2020	04/30/2021	\$0.00	PDF	None	None

*Requires [Mozilla Firefox](#) or [Internet Explorer 11](#) [Guide for PDs](#) [Site Administration Manual](#)

Home	Project Initiation	Progress Report	Financial Report	Reports	Project Change	Final Report
------	--------------------	-----------------	------------------	---------	----------------	--------------

Project Financial Report

Project Information

Title Conference Grant Application: Soil organic matter synthesis- Improving models with data from cross-site observations & manipulat	
Accession Number 1021243	Project Number (Not Available)
Organization Name UNIVERSITY CORPORATION FOR ATMOSPHERIC RESEARC	Funding Source NON FORMULA
Project Director Wieder, William	Fiscal Year 2020

Allocation of Funds to Work Unit / Project at Location

Federal Funds NIFA Administered		
Hatch Funds	201	\$ <input type="text"/>
Multi State Funds	202	\$ <input type="text"/>
McIntire-Stennis Funds	203	\$ <input type="text"/>
Contracts, Grants, Cooperative Agreements	204	\$ <input type="text" value="4278.00"/>
Other Funds (Animal Health Sec. 1433, Evans-Allen, Other NIFA)	205	\$ <input type="text"/>
Total NIFA Funds	231	\$ 0.00
Other Federal Funds		
USDA Contracts, Grants, Coop Agreements	219	\$ <input type="text"/>
National Science Foundation	209	\$ <input type="text"/>
Department Of Energy	310	\$ <input type="text"/>
Agency For International Development	308	\$ <input type="text"/>
Department Of Defense	311	\$ <input type="text"/>

NOTE!! There's another important field near the bottom of this page, #s 241-244. Enter FTE that incurred the dollar amount in 204.

IFAS TX history provides this info. This key only spent 100 hours on a graduate student... 100/1768 hrs in a year is .05, but the system rounds up to 0.1

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	GL Transaction Detail												
2	Transactions from 10/1/2019 through 9/30/2020												
3	Division Code	Account	Object Code	Description	Date	PEID	Check ID	Check#	Reference	PO#	Batch	Units	Amount
10	10	108937	5034	Pierson, Derek WD PY	08/14/2020	100176	EF	49723	2001017	EARN REG	JE028772	40.00	800.00
31	10	108937	5034	Pierson, Derek WD PY	08/28/2020	100176	EF	50794	2001018	EARN REG	JE028860	40.00	800.00
32	10	108937	5034	Pierson, Derek WD PY	09/11/2020	100176	EF	53382	2001019	EARN REG	JE029014	20.00	400.00
18													
19													
50													0.05656109
51													

Identify this student as professional support. If staff were regular staff, use field 241...

Staff Support

Non-Federal Employed Staff Support (Report nearest 0.1 Year)

Scientists (Assistant Professor and above)	241	<input type="text"/>
Professional Support	242	<input type="text" value="0.1"/>
Technical Support	243	<input type="text"/>
Clerical, Labor and Other	244	<input type="text"/>
Total Staff Years	350	0.1

Save Cancel

Click Save.

Then get back here:

Performing Department: Funding Source: Project Director:

Search **Clear Search**

Download **Upload** **Submit to NIFA** **Summary PDF**

Expand All Folders Collapse All Folders

0 Project Financial Report(s) with Errors

0 Project Financial Report(s) with Alerts

1 Project Financial Report(s) Pending Submission to NIFA

Accession #	Project #	Proposal #	Title	Department	Proj. Dir.	Funding	Proj. Status	Start Date	End Date	Total Expnd	View	Alerts	Errors
1021243	(None)	2019-07379	Conference Grant Application...	NCAR	Wieder, William	NON FORMULA	ACTIVE	03/01/2020	04/30/2021	\$4279.00	PDF	None	None

Click OK!

Are you sure you want to submit your Project Financial Report to NIFA?

By clicking the [Submit to NIFA] button, I hereby certify that all data reported is accurate to the best of my knowledge and that I have reviewed all Alerts associated with this submission. This Project Financial Report is approved by me.

OK Cancel

Last, save a copy of this report in the grant folder on Z:

Expand All Folders Collapse All Folders

0 Project Financial Report(s) with Errors

0 Project Financial Report(s) with Alerts

0 Project Financial Report(s) Pending Submission to NIFA

1 Project Financial Report(s) Submitted to NIFA

*Requires [Mozilla Firefox](#) or [Internet Explorer 11](#) [Guide for PDs](#) [Site Administration Manual](#)

1 Project Financial Report(s) Submitted to NIFA

Accession #	Project #	Proposal #	Title	Department	Proj. Dir.	Funding	Proj. Status	Start Date	End Date	Total Expnd	View	Alerts	Errors
1021243	(None)	2019-07379	Conference Grant Application...	NCAR	Weder, William	NON FORMULA	ACTIVE	05/01/2020	04/30/2021	\$4278.00	PDF	None	None

United States Department of Agriculture
Project Financial Report

Title: Conference Grant Application: Soil organic matter synthesis-Improving models with data from cross-site observations & manipulations	
Sponsoring Agency: NIFA	Recipient Organization: UNIVERSITY CORPORATION FOR ATMOSPHERIC RESEARCH
Funding Source: Non Formula	Project No.
Accession No. 1021243	Date Submitted to NIFA: 02/04/2021
Project Director: William Weder	
Submitted By: William Weder	

Allocation of Funds to Project at Location	Field Number	FY 2020 Actual \$
Federal Funds NIFA Administered		
Hatch Funds	201	
Multi-State Funds	202	
McIntire-Stennis Funds	203	
Contracts, Grants, Cooperative Agreements	204	4,278.00
Other Funds (Animal Health Sec 1433, Evans Allen, Other NIFA Administered)	205	
Total NIFA Funds	231	4,278.00

NOAA:

Report submission: ADMINS NO LONGER SUBMIT ON BEHALF OF THE PIs UNLESS THEY SHARE THEIR LOGIN INFO.

Every funded partner needs to submit these reports. If NCAR is not the lead, they should get the report from them, add the UCAR award # and submit.

[Link to PI Guidance with Screen Images](#)

If PI does not have an account or has trouble accessing it, they need to contact Contracts (fedawards) for instructions. Contracts does the initial set up.

PI provides and submits report in NOAA Grants Online. When submitting reports in NOAA grants online (<https://grantsonline.rdc.noaa.gov/flows/home/Login/LoginController.jspf>):

Awards: Search Awards: Enter award number

Select the award and on the next page scroll to the bottom and find "Progress reports". Pick the period of performance for the report in hand and on the next screen under attachments, add a new file and include a note. Submit.

A questionnaire has been added. If PIs ask for it to prepare the answers before they submit there is a copy here: https://drive.google.com/open?id=1k-1jETJVP_mf_WL-BXHID36fxL6F0iQO

Choose "Forward to Agency."

NOAA request for report due date extension

Login to grantsonline, "search awards," enter award #. Click on "Award number" link that appears. In "action" drop down, choose "request extension to closeout," and submit. On next page, scroll down to "Extension to Closeout - AWARD #", enter extension request (limited to no more than 60 days, despite option for 90 days!), enter "Justification," [sample text: The University of Utah is the lead, and NCAR's role is a small part of the entire project./ NCAR will submit the report reflecting the entire project, provided by the lead PI. / The report from the lead PI is not available at this time, and it is outside of NCAR and the NCAR PI's control.] "Save" then "save and start workflow," then from "action" drop down choose "forward award action request to authorized representative" and submit.

S

SFI (Significant Financial Interests)

(<https://operations.ucar.edu/forms/ogc/significant-financial-interests-disclosure-form>)

NCAR PI(s) and CO-PI(s) must be sign SFI prior to NSF or NIH proposal submission, whether they are funded or unfunded. Don't need SFIs for collaborators.

Z:\Proposals\SFI

June 2018 update: SFIs not required at proposal if hardcopy submission. November 2019: no longer true. Not required for unfunded collaborations

SFIs are also required at the time of award. Send to Contracts (fedaward)

<https://operations.ucar.edu/procedures/coo/investigator-financial-disclosure-procedures>

SFI disclosures

If an SFI is returned with any disclosures made, the process is to Forward to B&P/ncarprop with note, just “Hello, This SFI has a disclosure in field ”
B&P/ncarprop then forwards this to Fedaward
Fedaward then emails the CGD Assoc. Dir. (note: CB tried to circumvent this by sending to JF in Aug. 2020, and that was not acceptable!)

Sponsored Memberships CGD Policy

CGD management will consider requests from early career staff members for payment of individual sponsored memberships on a case-by-case basis. These costs will be paid from the staff member’s section NSF base account.

Early career in this context means staff level 1 appointments, such as Scientist I, Associate Scientist I, Project Scientist I, etc. in the first 4 years of this appointment

The maximum duration of CGD’s financial support of these costs will be 4 years.

Science & Technology Opportunity / Risk Mitigation (STORM) Fund

STORM – CGD 308010

STORM fund balances- (Don’t use balance from IFAS)

<https://operations.ucar.edu/treasury-operations>

Click on “monthly balances” under STORM (Science & Technology Opportunity / Risk Mitigation) FUND

STORM fund request process

https://www.fin.ucar.edu/treasury/internal/storm_fund.html

STORM contact

Chief Financial Officer

STORM for OH difference

STORM can be used to cover the difference when sponsor imposes restrictions at lower OH rate.

Exceptions - NIH and USDA... UCAR does not require lab to compensate for indirect limits set by these sponsors

USDA limits the indirect rate to 30% of the total federal funds awarded. Because the indirect limit language is within the USDA appropriations, NCAR would NOT need to cover the difference.

Subawards and Overhead

Overhead is calculated on first \$25K each fiscal year.

Subaward vs subcontract vs purchase order

A Subaward

will start with a “Z” in internal documents and is tied to sponsor and award outcomes (ie, a subaward for research, and those activities will be included in the overall project reports.

A Purchase Order

is for a very simple transaction, “you do this, we pay you that.” Requests for payment/approved invoices should be sent to Finance Accounts Payable. [write “Pxxxxxxx” approved for payment date and sign. Add “please closeout” if all is complete.]

A Subcontract

is for a more complex procurement than established in a Purchase Order, which might contain more variables or uncertainties than the PO.

Requests for payment/approved invoices should be sent to
[REDACTED]@ucar.edu.

Supplemental Funds

When additional funds are requested for an ongoing project....

If additional funding is being sought for a previously-awarded project, contact B&P ([REDACTED]@ucar.edu) to ask if that office prefers a new proposal be created, or that the previous, submitted proposal be re-opened.

If the supplemental budget doesn’t exceed 20% of the original budget, a new proposal is not necessary.

If the previous proposal will be reset to the state “changes requested by the BO,” copy the budget, name it “supplemental funds,” adjust as required, and save.

To change the period of performance, download supplemental budget to Excel, and adjust dates.

Complete Award Change Form, have the lab Dir sign. Send signed Award Change, budget, and SOW to ncarprop & fedaward aliases, requesting review/approval.

If the proposal is an NSF proposal, this request for supplemental funds needs to be uploaded

and submitted for AOR approval and submission. In this case it is Contracts who will submit, not B and P. For instructions on how to do so, go to the [Fastlane Help Monster handbook](#), page 766!

T

Transfers

See also [Journal Entry Funds Transfer](#)

Transfers to Discretionary from Revenue Keys

(to cover discretionary costs)

FROM/CREDIT Discretionary key; TO/DEBIT Revenue key, use object code 4666 for both lines.

REPORTS:

- Budget-to-Actual by account number and object code

TRANSFERS:

- FROM discretionary key
- TO account key
- USE object code 4666

AR Mail - R: Residual transfer <https://mail.google.com/mail/u/0/?ui=compose&to=barbara@ucar.edu>

NCAR
UCAR

Barbara Bultman (barb@ucar.edu)

Re: Residual transfer

Message

Like Johnson (mjb@ucar.edu) Fri, Apr 13, 2018 at 11:07 AM

Barbara Bultman (barb@ucar.edu)

Barbara Bultman (barb@ucar.edu)

On Fri, Apr 13, 2018 at 10:54 AM, Barbara Bultman (barb@ucar.edu) wrote:

Hi Ruth,

Thanks for your help yesterday. In the while that I had yesterday when I was on the phone with you, I wrote FROM 20000 and 00000 TO 100000. But the sample you sent me seems to go the other way, i.e., FROM 20000 to 00000 and 10000. Please confirm to me which is the correct way.

Best regards,
Barbara Bultman

Christina Book
 Authorizing Signature
 Christina Book
 Print Authorizing Name
 8/22/2018
 Date Submitted

This transfer is to move funds to correctly pay for CESM Workshop events

Account Key	Object Code	TO	FROM	PEID CXXXXX 0XXXXX VXXXXX	Reference PO#, TE#, TV# JE#, BT#	Check #	Finance use Only			
		Debit Dollar Amount	Credit Dollar Amount				Hit	Pay Type	Offset	Misc
309100	4666		\$1,036.62				EN?	FP,PP		
101601	4666	\$1,036.62								

Transmittal Form (Cover Letter)

If the total budget is less than \$100K, the cover letter can be signed by the CGD Lab Director. A sample is available in Z/proposals/proposal general information/Transmittal Letter

Tuition Reimbursement

Tuition Reimbursement is not allowable in proposal budgets

U

UCAR/NCAR Organizational Information

(<https://ncar.ucar.edu/budget-and-planning/proposals/organizational-information>)

NCAR Contact Information

Shipping Address for all campuses:

3090 Center Green Drive Boulder, CO 80301-2252

ML Physical Address:

1850 Table Mesa Drive Boulder, CO 80305-5602

Main Telephone Number:

303-497-1000

Organizational ID Numbers

CAGE Code: 0 [REDACTED]

Congressional District #: Colorado District 2 (CO-002) DUNS #: 07 [REDACTED]

Federal Tax ID # : (aka: EIN, FEIN): 84 [REDACTED]

NCAR Institutional Representative for Proposals:

Valerie [REDACTED] Proposals Manager

University Corporation for Atmospheric Research 3090 Center Green Drive, Boulder, CO, 80301-2252 Phone: 303-497-[REDACTED]

Email: [REDACTED] [@ucar.edu](mailto:[REDACTED]@ucar.edu) (yes, still use with Valerie K as contact...update expected soon as of July 2017) (use for communicating with external groups, so that the entire Contracts group can access messages)

NSF Fastlane Specific

NSF Awardee Organization #: 406 [REDACTED] NSF Performing Organization #: 400 [REDACTED]

Go to www.fastlane.nsf.gov, and log in as "research administration" (tabs on blue bar) FastLane help desk: 1-800-673-6188

Cognizant Agency and Contact

Sylvanus Davies

Email: sdavies@nsf.gov Phone: (703) 292-8867

National Science Foundation 2415 Eisenhower Avenue

Alexandria, VA 22314

UCAR Assistance for Charitable Foundation and NGO Proposals

See [Process](#).

Complete the [Assistance for Foundation Proposals Form](#)

Application Process

Each applicant's entity (NCAR or UCP) and Lab/Program must be involved, in this sequence:

Budget & Planning within the relevant NCAR/UCP directorate reviews the foundation's solicitation to ensure that their entity is eligible and determine what level of AFP funding would be needed.

The relevant Lab/Program contacts the UCAR Deputy Chief Financial Officer (CFO) to discuss the particulars of the request.

The Lab/Program Director or their designee completes the AFP funding form and submits it to the Deputy CFO.

UCAR President's Strategic Initiative Fund (PSIF)

NOTE: Panda is not required, but may be useful to ensure budget is accurate. PSIF awards use current fiscal year UCAR G&A indirect rate, which is lower than the NCAR indirect rate.

UCAR Management Fee

<http://www.fin.ucar.edu/guide/fee.html>

Purpose: The collection of fees allows UCAR to cover certain on-going corporate expenses as provided for in the Government Accounting Offices (GAO) recommended guidelines. Fees are used to help maintain and expand UCAR's scientific and educational programs. In general, the fee represents contributions to UCAR's general fund to cover expenses necessary for UCAR corporate operations that are not budgeted for in Direct Awards.

Non-NSF awards

The UCAR fee is typically 3% for government funders, non-profits, or universities, US or foreign.
The UCAR fee is typically 5% for all other funders, such as commercial entities, US or foreign. Fee is charged on the modified total direct cost plus indirect cost.

Unique Fee Restrictions

NASA: No UCAR Management Fee (blanket waiver)

DOE: No UCAR Management Fee (blanket waiver) UNLESS AWARD MAY BE A CONTRACT!
(typical with other National Labs)

NSF: The UCAR fee should be excluded on all proposals where NSF is the prime agency. The UCAR fee should NOT be applied in the following instances:

All proposals submitted directly to NSF either through email or FastLane;

All proposals submitted as a joint/collaborative proposal in FastLane;

All proposals where NCAR will be a subaward on a university or other sponsor led proposal submitted to NSF.

NOAA:

UCAR fee should be excluded from all proposal budgets where NOAA intends to fund the activity via a grant or cooperative agreement (CA).

If UCAR were to make a decision to seek a contract rather than a grant or CA or it is the intent of NOAA to issue a contract, the UCAR fee should be included in the proposal budget.

If a NOAA announcement does not specifically state that the awarding mechanism will be a grant or cooperative agreement, divisions and labs should include UCAR fee in their proposal budgets.

All budgets for proposals that are intended to be funded through the NSF Cooperative Agreement should include the UCAR fee.

All proposals where NCAR will be a subaward on a University or other agency led proposal submitted to NOAA should include the UCAR fee.

UProcure

UProcure & Purchase Requests

alias is [@ucar.edu](mailto: @ucar.edu)

CGD UProcure Handbook Link

https://docs.google.com/document/d/1ft1LP8k--LLTzy_nnF6FgHYgd2rs31qbe2Vi62g98f8/edit

UProcure Extending Period of Performance for a Subagreement

UProcure action: use the change order form, provide as much detail as possible.

V

W

Workday

To see time reporting for CGD staff

in the search bar, search “audit...” then choose Audit - Time Tracking Status by Org - TK Approver. In the “organization” field, choose “organizations by type,” and “Supervisory.” Then select CGD / Jean-Francois, enter pay period dates, and click OK.

X

Y

Z

Appendix 2: Short Author Biography

Christina Book works in the Climate and Global Dynamics Laboratory of the National Center for Atmospheric Research, managed by the University Corporation for Atmospheric Research, located in Boulder, Colorado. She feels privileged to support her institution's mission, "leading world class Earth system science through partnerships, innovation, and service," and vision, "Earth system science for a better world."

She lives in Lafayette, Colorado, with her husband, and is excited about the eventual, positive outcomes from the COVID-19 pandemic, including the expansion of remote work options.